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Tonal Methods of Cyclic Unification in Haydn's Mature Keyboard Sonatas.

Stuart David Foster

Louisiana State University and Agricultural & Mechanical College

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Tonal methods of cyclic unification in Haydn's mature keyboard sonatas

Foster, Stuart David, D.M.A.

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Tonal Methods of Cyclic Unification

in

Haydn's Mature Keyboard Sonatas

A Monograph

**Submitted to the Graduate Faculty of the
Louisiana State University and
Agricultural and Mechanical College
in partial fulfillment of the
requirements for the degree of
Doctor of Musical Arts**

in

The School of Music

by

Stuart Foster

B.A., Cornell University, 1983

M.M., University of Arkansas, 1986

August 1990

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	2-2	40
	2-3	41
	2-4	41
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	2-18	54
	2-19	55
	2-20	55
	2-21	56
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	1-11	21
	1-25	34
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TABLE OF HOBOKEN AND LANDON NUMBERS

Hoboken/Landon

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Landon/Hoboken

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ABSTRACT

The purpose of this monograph is to explore the diverse types of harmonic relationships among movements in the mature keyboard sonatas of Joseph Haydn. The mature sonatas are defined as those written ca. 1765 and later, of which there are thirty-five. This study draws examples from seventeen of these sonatas in which intermovement harmonic relationships make significant contributions to the overall unity of the sonata.

In discussing questions of unity in Haydn's music, most scholars have concentrated on thematic or motivic similarities, which are perhaps the most obvious unifying features. This study, on the other hand, discusses examples that involve emphasis on a particular key area, use of the same or similar distinctive harmonies, or employment of similar noteworthy harmonic progressions in more than one movement of a sonata. In the body of the study, one chapter is devoted to each of these three categories.

Certain chronological patterns emerge concerning the tonal unity in the sonatas. For instance, the submediant plays its most important unifying role in the sonatas of Haydn's Sturm und Drang period. In addition, there are striking local harmonic relationships in several of the works from this period. Haydn mixes progressive and conservative elements in the two sets of sonatas from the mid-1770s, and though no clear patterns for tonal unity emerge, several of these sonatas show strong intermovement harmonic relationships. The sonatas published in 1780 or later tend to have a more unique stylistic profile, and this is reflected in a greater variety of unifying

relationships. The main pattern that links them is in their use of more remote harmonies for unification.

The relationships discussed in this study are mostly tonal, yet the analyses do not exclude mention of other unifying factors, such as thematic, motivic, and gestural relationships. As several of the analyses demonstrate, intermovement tonal relationships complement other types of unifying relationships in Haydn's sonatas.

INTRODUCTION

The present study concerns the analysis of cyclic unity in the mature keyboard sonatas of Joseph Haydn.¹ Its primary aim is to examine the contribution of specific kinds of harmonic relationships among movements to the overall unity of these works. A number of scholars have investigated intermovement tonal relationships in the works of Beethoven and later composers, yet relatively little attention has been similarly focused on Haydn's works, and very little analysis of this type has been done specifically on his keyboard sonatas.² In discussing questions of unity in Haydn's music, most scholars have concentrated on thematic or motivic similarities, which are perhaps the most obvious unifying features.³ This study, on the other hand, will discuss examples involving emphasis on a particular key area, use of the same or similar distinctive harmonies, or

¹The mature sonatas will be defined as those written ca. 1765 and later. See A. Peter Brown, Joseph Haydn's Keyboard Music: Sources and Style (Bloomington: Indiana University Press, 1986), 123, 289-93.

²William S. Newman, The Sonata in the Classic Era, 3rd rev. ed. (New York: W.W. Norton, 1983), Charles Rosen, The Classical Style: Haydn, Mozart, Beethoven (New York: Viking Press, 1971), and Leonard Ratner, Classic Music: Expression, Form, and Style (New York: Schirmer Books, 1980) do not adequately explore intermovement harmonic relationships in Haydn's music. James Webster, "Haydn's Farewell Symphony: The Rhetoric of Through-Composition In His Instrumental Music" (forthcoming), contains the first extensive discussion of these matters. Sincerest thanks are due Professor Webster for allowing the author to study parts of the text before publication.

³See Jan LaRue, "Multistage Variance: Haydn's Legacy to Beethoven," The Journal of Musicology 1 (1982): 265-74, and Meir Wiesel, "The Presence and Evaluation of Thematic Relationships and Thematic Unity," Israel Studies in Musicology 1 (1978): 77-91. For a summary of different approaches, see Webster, 239-52.

employment of similar noteworthy harmonic progressions in more than one movement. These general categories must be understood (and the individual examples must be evaluated) against the background of the conventional framework of the classical sonata; clearly, a certain degree of tonal unity is inherent. For instance, the outer movements of virtually all classical keyboard sonatas are in the same key, and normally the same mode as well. Similarly, use of the dominant as the secondary key area in a major-mode sonata (or the relative major in a minor-mode sonata) is so nearly universal in Haydn's sonatas that this could hardly be singled out as an important technique of unification in a multimovement cycle. The examples to be discussed below stand out from the normative profile of Haydn's sonata style, and serve as evidence in support of the hypothesis that the composer employed specific and recognizable harmonic means to unify multimovement works.

Webster, writing about Haydn's works in general, isolates two means by which tonality can unify a multimovement work. One is to "initiate or imply a large-scale tonal progression at or near the beginning, but to postpone its conclusion until the last movement," and Webster notes that, given the necessity of beginning and ending in the same key, "the only feasible way of doing this was to move from a minor tonic to the parallel major."⁴ However, he describes further conditions that prevent this from applying to Haydn's keyboard sonatas. The other means is "a series of unusual, but related, harmonic events in different movements," which is quite relevant in Haydn's sonatas.⁵ It entails "repetition of a striking

⁴Webster, 254.

⁵ibid., 253.

modulation, harmonic juxtaposition, tonal ambiguity, or sonority, with sufficiently "pointed" effect and in sufficiently prominent contexts ... that we associate the passages with each other, and hence interpret them as signs of an organizing relationship."⁶ This broad definition covers many different types of relationships, and certain parameters should be clarified at the outset. One does not expect to encounter in Haydn the imposing tonal integration of a work such as Beethoven's 'Hammerklavier' Sonata or the Op.131 Quartet, and indeed none of Haydn's sonatas aspires to such a degree of cyclic unity. It is more common to find significant tonal links between only two movements of his sonatas, and though there are several sonatas that are integrated to a more substantial degree, these works are in a relative minority. Nonetheless, Haydn's methods of tonally relating movements are of great relevance in terms of understanding his style, and they constitute a comparatively unfamiliar part of his compositional aesthetic.

One important type of relationship that must be mentioned (though it comes into play only once in the keyboard sonatas) concerns Haydn's use of remote key-relations between movements, something he particularly favored after 1790.⁷ Almost paradoxically, Haydn's use of distantly-related keys often strengthens a work's unity. For example, in the G-major Quartet, Op. 77, no. 1, the slow second movement is in E flat major, the flat submediant key. The unusualness of this I- bVI relationship provides effective contrast between the movements, but when Haydn also places the

⁶ibid.

⁷See Ethan Haimo, "Remote Keys and Multimovement Unity: Haydn in the 1790s," forthcoming in The Musical Quarterly (thanks are due Professor Haimo for allowing the author to read the typescript for this article).

Trio of the ensuing G-major Menuet in E flat major, the listener becomes aware of the relationship as a tonally unifying principle for the work.⁸

The only analogous example in Haydn's keyboard sonatas is probably the most famous example of remote key usage in Haydn--his Sonata No. 52 in E flat.⁹ The first two movements of this sonata, written in E flat and E major respectively, display the most startling tonal relationship of any movements in Haydn's music. However, in the midst of the development of the first movement, Haydn introduces the distant key of E major, and these few bars serve in retrospect to have prepared the listener to some degree for the dramatic and unexpected shift between movements (cf. the discussion in Chapter One).

To my knowledge, none of Haydn's works written before 1790 exhibits such exotic key relationships, yet quite often there exist other harmonic relationships between movements that contribute to the tonal unity of the whole. Three categories of the harmonic relationships in his keyboard sonatas to be examined in this study are: emphasis on the same key area(s) in more than one movement of a cycle; use of the same distinctive harmonies or harmonic colorings in more than one movement, particularly at key points in the formal structure; and employment of similar noteworthy harmonic progressions in two or more movements, again particularly when they come at significant structural points. In the text that follows, one chapter will be devoted to each of these categories. The resulting grouping will help organize the diverse examples of tonal relationships in the

⁸Haimo analyzes this quartet in his article.

⁹Throughout the study all sonatas will be referred to by their Hoboken number. The table on p. vii contains their corresponding Landon numbers.

sonatas,¹⁰ yet given this diversity, it is inevitable that certain examples will fit these categories more readily than others. Ultimately, each example must be considered as a separate and unique entity.

¹⁰In addition, the List of Analytical Examples (pp. iv-vi) will facilitate access to multiple discussions of a given sonata.

CHAPTER ONE

UNITY THROUGH SHARED TONAL EMPHASES

This chapter concerns sonatas in which tonal unity is created by an emphasis on the same key area in more than one movement. It will be broken down into four categories that further classify the types of relationships this unity entails. The first two categories reflect the important role played by the submediant in creating unity, particularly within development sections, and more particularly in those sonatas written in Haydn's early maturity. The third deals with sonatas whose first movements establish some type of tonal connection with the key of the middle movement, and the last category groups together several sonatas with less specifically defined unifying passages.

Submediant Emphasis in Development Sections

The submediant plays a conspicuous and integral role in the great majority of Haydn's first-movement development sections.¹ Andrews finds that of 219 such developments (from the Haydn symphonies, string quartets, keyboard trios, and solo keyboard sonatas in the major mode), only one fifth "fail to have an important part, including at least one significant cadence, in

¹On the role of the submediant in development sections of classical sonata forms, see Charles Rosen, *Sonata Forms*, 2nd rev. ed. (New York: W.W. Norton, 1988), 263-75; Ratner, *Classic Music*, 225-29; and Newman, *Sonata in the Classic Era*, 147-50.

the submediant key."² Among his mature keyboard sonatas in major keys, there are twenty-five sonatas that have first movements in sonata form, and in twenty-one of these, Haydn introduces the relative minor in the development section in some capacity. In roughly three-fourths of these twenty-one development sections, the submediant is the principal key area established. A typical development will have a strong submediant half cadence a third- to half-way through as its only or principal half cadence, a subsequent treatment of thematic material in the submediant, and, finally, a concluding submediant authentic cadence, often as the only or most significant authentic cadence in the entire development section.

There are six mature major-key sonatas (the Sonatas Nos. 18, 45, 46, 21, 23, and 52) in which the first and the last movements are in sonata form, and in five of the six (all but No. 52) the relative minor plays a significant role in the development sections of both movements. All five of these sonatas were composed by 1773; after this time, Haydn all but stopped writing keyboard finales in sonata form, and by the 1790s--No. 52 was written in 1794--he had also stopped relying so heavily on the submediant in his keyboard sonata developments. In the three sonatas discussed below, the submediant plays not just a significant role but the principal role in the tonal plan of both developments. Its presence in each case contributes to the tonal unity of the cycle, in a sense specifying a I- V- vi- I tonal plan for the outer movements, though clearly the relative minor remains a step below the tonic and dominant in the hierarchy of this tonal plan. Moreover, as the following examples will show, this unity is often made more compelling by

²Harold L. Andrews, "The Submediant in Haydn's Development Sections," in Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: W.W. Norton, 1981), 465-71.

other similarities that draw further attention to the movements' submediant emphases.

Sonata No. 18

The Sonata No. 18 in B flat major was written around 1767-1768,³ and is Haydn's earliest sonata with only two movements. Both movements are in sonata form, and their development sections, despite being quite different in scope, emphasize the submediant as their principal harmonic goal. Furthermore, they do so in structurally similar ways, in that the only authentic cadence of each section is in the submediant, occurring in each case directly before the retransition,⁴ and additionally both sections have important G-minor half cadences roughly half-way through, followed by harmonically and rhythmically similar G-minor motives.

The development section of the first movement contains 35 measures, making it almost equal in length to the exposition, which has 38. It begins routinely in the dominant, yet comes to an uncertain stop in its seventh bar. Significantly, the harmony last heard in m. 45 is D major, potentially V/vi, though the harmonic direction is still unclear. After almost a measure of silence, the instability centered around this D-major harmony is continued in a motive from the transition (m. 13). Finally, in mm. 49-53 a sequence based on this motive leads convincingly to a submediant half cadence (Ex. 1-1).

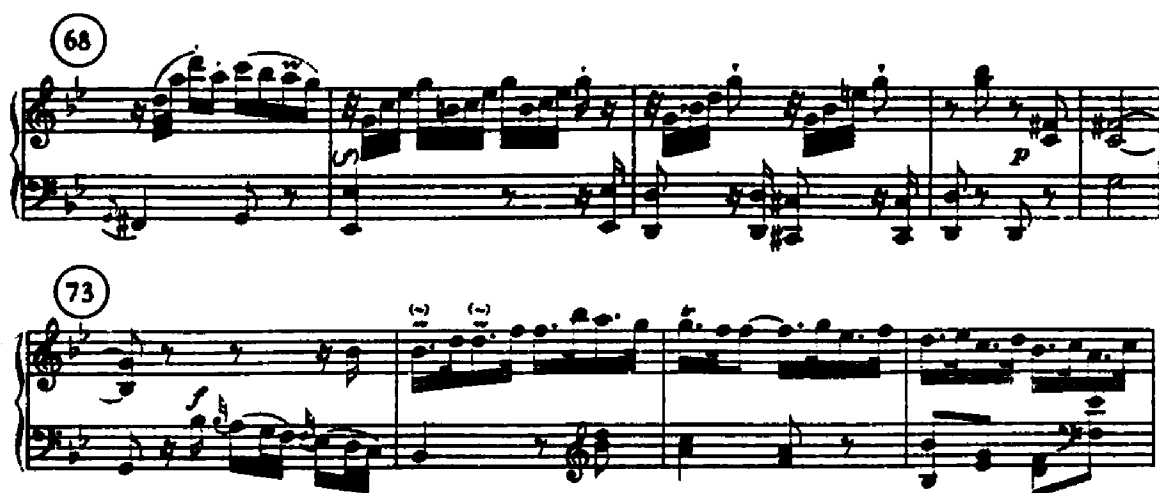
³For matters of chronology relating to the sonatas, see A. Peter Brown, Joseph Haydn's Keyboard Music: Sources and Style (Bloomington: Indiana University Press, 1986), 112-23, and Christa Landon, preface to Joseph Haydn: The Complete Piano Sonatas (Vienna: Universal Edition, 1966).

⁴Rosen mentions this scenario; see Sonata Forms, 263-66.



Example 1-1. Hob. XVI:18/I, mm. 43-53.

A statement of material from the exposition (mm. 17 ff.) follows in G minor, yet without a convincing G-minor cadence. There is another submediant half cadence in m. 65 and then finally, in mm. 72-73, an authentic cadence, which provides the only harmonic resting point of the section (Ex. 1-2). The submediant is no sooner confirmed, though, than left, as a descending B-flat scale signals the immediate arrival of the recapitulation.



Example 1-2. Hob. XVI:18/I, mm. 68-76.

The second movement's development is much more condensed (21 measures compared to 45 in the exposition), yet structurally and tonally contains many similarities to the development in the first movement. Some of these will be detailed in Chapter Three, yet in regard to the section's emphasis on the submediant, there are several points of comparison that require mention. As in the first movement, the initial goal of the section is a submediant half cadence, reached in mm. 56-58 (Ex. 1-3). This half cadence is much more extended than either of those in the development of the first movement, yet is similar to the second one in that the V/vi harmony proceeds from a German sixth chord, and all four notes of this chord appear in the same range in each, with the inner two (g¹ and b flat¹) rhythmically active.



Ex. 1-3. Hob. XVI:18/II, mm. 52-61.

Following this half cadence is a brief motive very similar to the one in mm. 54-55 in the opening movement (cf. Chapter Three), and the only authentic cadence in the section comes three bars later, on the downbeat of m. 62. After a brief retransition sequence, the recapitulation begins. That both

development sections emphasize the submediant increases the tonal unity of the whole, and this unity is further defined by the similar structural and motivic use of the submediant.

Sonata No. 46

The Sonata No. 46 in A flat major dates from around the same time, 1767-68, as the B-flat-major sonata just discussed. Its movements include an opening Allegro moderato and a Presto Finale that surround a D-flat-major Adagio, all of which are in sonata form. The developments of both outer movements are lengthier than in Sonata No. 18, and in fact, are lengthier than their respective expositions. In general, they are much more given to flights of fancy, refusing to settle down for very long in one key, and yet in both, but particularly the first movement, the submediant keeps returning, almost as a springboard for the other tonal excursions. Given that both development sections are as ample as they are, the significant role of the submediant in each and its ultimate unifying effect cannot be disputed.

In the development of the first movement, the relative minor appears no fewer than four times. The first time is in m. 43, with a statement of the main theme, and this moves through a circle-of-fifths progression that returns to the relative minor by m. 49. This second F minor only lasts for half a measure, but the rhythmic pattern that it initiates, taken from the end of the transition in the exposition, dominates the next sixteen bars of tonal fluctuation, ending finally with the half cadence in vi in m. 64. After a fermata, another theme, also from the transition in the exposition (m. 9), is stated in F minor, and leads to another half cadence in m. 68 (Ex. 1-4). The submediant continues now until the end of the section, confirmed by

authentic cadences in mm. 70-71 and m. 73, and F minor initiates the brief retransition progression in mm. 74-77.



Example 1-4. Hob. XVI:46/I, mm. 64-71.

In the third movement, the submediant is used in a less striking but similar fashion. It is the goal of the progression in mm. 46-53, and after four measures, the music enters a circle-of-fifths progression, just as happened in mm. 45-49 of the first movement. Like the first movement this progression leads from F minor (in m. 57) all the way back to F minor (m. 64). A half cadence in vi follows (m. 68), which is the only half cadence in the section (the Allegro also had only one, and it was in F minor). The relative minor is confirmed in m. 72 with a perfect authentic cadence, and the retransition begins immediately, as in the first movement (Ex. 1-5). The similarities between the sections, then, are centered around their emphasis on the

submediant and their use of it as a tonal anchoring point in between brief, tonally fluctuating passages.



Example 1-5. Hob. XVI:46/III, mm. 60-77.

Sonata No. 23

The F-major Sonata No. 23 dates from 1773, or some five years later than the previous two examples. It belongs to the set of six sonatas that Haydn wrote in that year for his patron Prince Esterházy. Though it has many interesting features, particularly in its first movement, it cannot be considered one of Haydn's most progressive sonatas.⁵ The developments of its first and third movements are both shorter than the expositions, as was the case in Sonata No. 18. Moreover, the structure of the developments is

⁵The whole set, Hob. XVI:21-26, is overall Haydn's most conservative set. See Brown, 302-7.

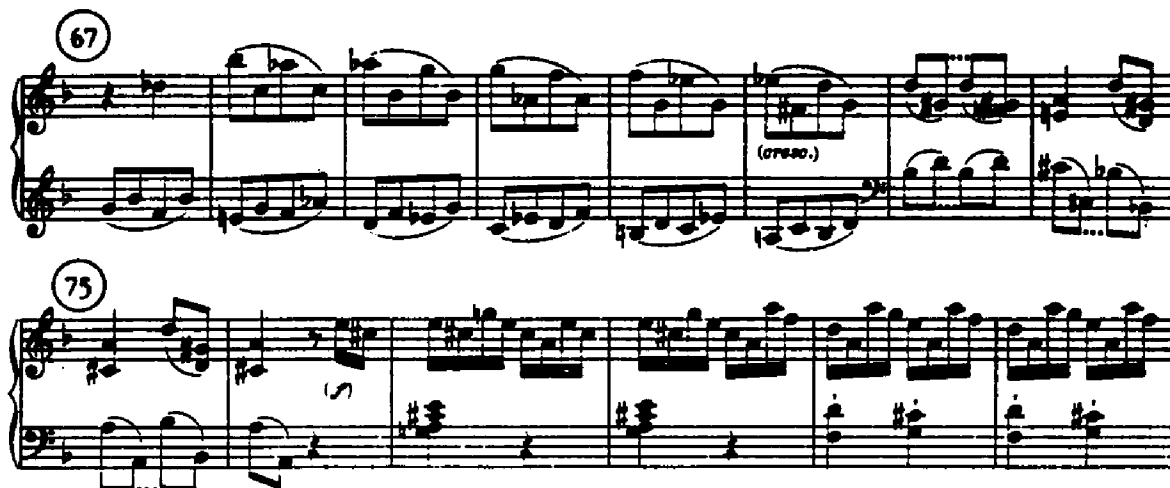
like that of the B-flat sonata, with the submediant serving as the principal harmonic goal of each section.

In the first movement, there is a strong D-minor half cadence in m. 60, followed by a theme in D minor taken from the transition in the exposition. In spite of the chromatics introduced by the sequence of diminished sevenths in mm. 73-75, the submediant retains its hold, and is confirmed by the perfect authentic cadence in mm. 76-77 (Ex. 1-6). This is the only authentic cadence in the section, and once reached, the retransition begins immediately.

The image displays two staves of musical notation. The top staff, labeled with a circled '73', shows a sequence of diminished sevenths in the right hand, with the instruction '(cresc.)' in the left hand. The bottom staff, labeled with a circled '76', shows a perfect authentic cadence with a sustained chord in the right hand and a descending sequence of diminished sevenths in the left hand.

Example 1-6. Hob.XVI:23/1, mm. 73-78.

The development section in the third movement contains more harmonic variety, but eventually and emphatically progresses to the submediant. After brief ventures in G minor and E flat major, a long descending sequence begins that finally arrives on the dominant of vi in m. 76 (Ex. 1-7).



Example 1-7. Hob. XVI:23/III, mm. 67-80.

This is the strongest half cadence in the section, and, as in the first movement, there follows thematic material derived from the transition (m. 28). There is an authentic D-minor cadence in m. 85. This cadence clearly marks the harmonic goal of the section, and once this submediant confirmation is achieved, there immediately follow eight measures of retransition that return us to the home key.

Final-Movement References to First-Movement Submediant Emphasis

This group of relationships is differentiated from the above group in that it is not confined to relationships between development sections, and more importantly, does not involve submediant emphasis per se in the final movement. It accounts for sonatas with a first-movement submediant emphasis in which Haydn makes a third-movement reference to the submediant in such a way that contributes to the tonal unity of the cycle.

This reference, of course, has meaning in the context of the final movement, yet if one considers the tonal perspective of the entire cycle, it has the additional function of referring back to the tonal plan of the first movement, and it thereby lends tonal balance to the work as a whole. The following two sonatas have an emphasis on the submediant in the development of the first movement, and each makes a different kind of reference to that key at some point in the third movement.

Sonata No. 24

The Sonata No. 24 in D major is the fourth sonata in the 1773 collection mentioned above. It has three movements, including an opening Allegro in sonata form and a Finale marked Presto that is a variation form.⁶ In the first movement's development section, Haydn emphasizes the submediant, a harmonic procedure shown in the previous section to be the rule rather than the exception. The section starts in the dominant and first introduces B minor in m. 63. There is a strong submediant half cadence in mm. 76-77, and an authentic cadence in m. 92, also in B minor. The technique is similar in this regard to that seen in the Sonatas Nos. 18 and 23 discussed above. Further, immediately following the half cadence is a theme transposed to B minor from the transition in the exposition (m. 9), as in Sonata No. 23. If the final Presto of this sonata had been in sonata form, it is probable that Haydn would have chosen to emphasize vi in its development. However, Haydn's Presto is a light, humorous variation form consisting of a rounded binary theme, one complete variation, and then a closing section that varies fragments of the theme.

⁶Though with only one variation. See Brown, 306-7.

There is no emphasis on the submediant for most of this final movement, and in fact there is very little B minor harmony at all. Then, in the eighth measure of the final section of the movement (m. 88), there is a deceptive progression which lands not on B minor, but on a first-inversion $\text{vii}^{\circ 7}/V$ (i.e., with B in the bass). Four bars later, Haydn writes a more traditional deceptive progression, and emphasizes it by repeating the B-minor chords and coming to rest on the final one for almost two measures (Ex. 1-8).



Example 1-8. Hob. XVI:24/III, mm. 86-103.

This sustained B-minor chord is the most forceful and the widest-spaced chord in the entire movement, and four measures later (in m. 98) there is yet another deceptive cadence. The B-minor emphasis in this final section has obvious significance, and creates an amusing mock-tragic effect. In addition, though, the striking reappearance of B minor after its almost complete absence for two movements serves to recall its emphasis in the first movement, as if Haydn needed to return to B minor before the end in order to make the sonata more balanced tonally.

Sonata No. 21

The first of the 1773 sonatas, the C-major Sonata No. 21, is similar to the previous example. The first-movement development section emphasizes the submediant and the Finale makes brief reference to this key in a way that draws attention to it and recalls the first movement emphasis. The first-movement development displays Haydn's familiar method of using the relative minor as the harmonic culmination of the section, with an emphatic submediant cadence in m. 88 immediately followed by the retransition. Earlier in the section there is an important submediant half cadence (m. 71), and there is subsequent development of thematic material (from the second group, mm. 46-47) in A minor, as well.

The Finale is in sonata form, but the relatively brief appearance of the submediant in its development (mm. 68-71) can hardly be singled out as an instance of emphasis. However, several factors about its presence cause it to stand out. First of all, the entire development is relatively brief, only 32 measures compared to 48 in the exposition. Interestingly, it raises the possibility of being much briefer, when in mm. 62-64 it takes a turn back to the home dominant following a circle-of-fifths progression (see Ex. 1-9). The music does not pause on the dominant, though, as the left hand descends two additional steps to reach the submediant half cadence in m. 67. At this point the listener might wonder whether Haydn plans to establish and emphasize A minor for the remainder of the section, as in the first movement's development (and those of several others discussed above). Haydn proceeds to state the main theme in the submediant, yet after its initial four bars he breaks it off abruptly (Ex. 1-9). After a full measure of silence, Haydn 'tries again' with a slightly ornamented repeat of these four bars in F, and these measures proceed directly into a brief retransition that ends the

development. The suddenness of the A-minor half cadence and the isolation of the following submediant theme statement tend to highlight the A-minor presence, and thus recall its importance in the development of the first movement.



Example 1-9. Hob. XVI:21/III, mm. 60-72.

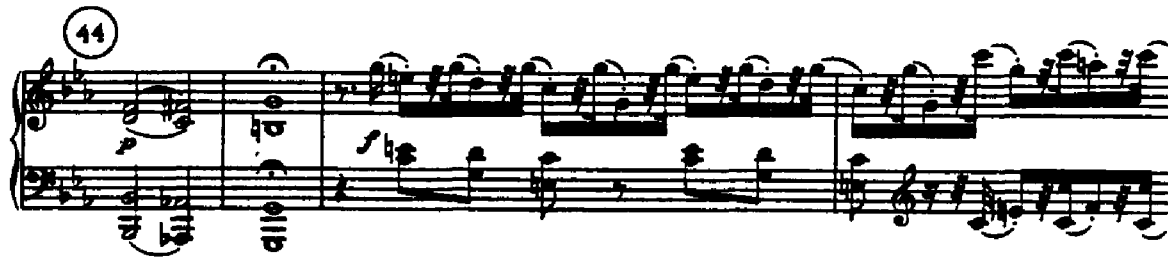
First-Movement Preparation for the Key of the Middle Movement

Whereas the above two sections dealt with shared tonal emphases between the outer movements of sonatas, which are always in the tonic key, this section describes three sonatas in which a relationship is established between the keys of the first movement and the middle movement. The three sonatas present different situations, yet in each the sense of tonal unity results from a significant first-movement emphasis on the key of the middle movement.

Sonata No. 52

Haydn's last keyboard sonata, the Sonata in E flat major, No. 52, was written in 1794, during Haydn's second stay in England. It has three movements with the remarkable key sequence E flat- E- E flat, as mentioned in the Introduction. This startling key relationship represents a daring experiment, and can be appreciated solely for its shock value, yet closer examination supports the assertion that Haydn would not create such a relationship arbitrarily. In the middle of the development in the first movement, Haydn introduces the key of E major, and does so in an unexpected fashion, with the result that the listener is, if not prepared for the key of the second movement, then at least not so unprepared as he would be without the earlier reference.⁷

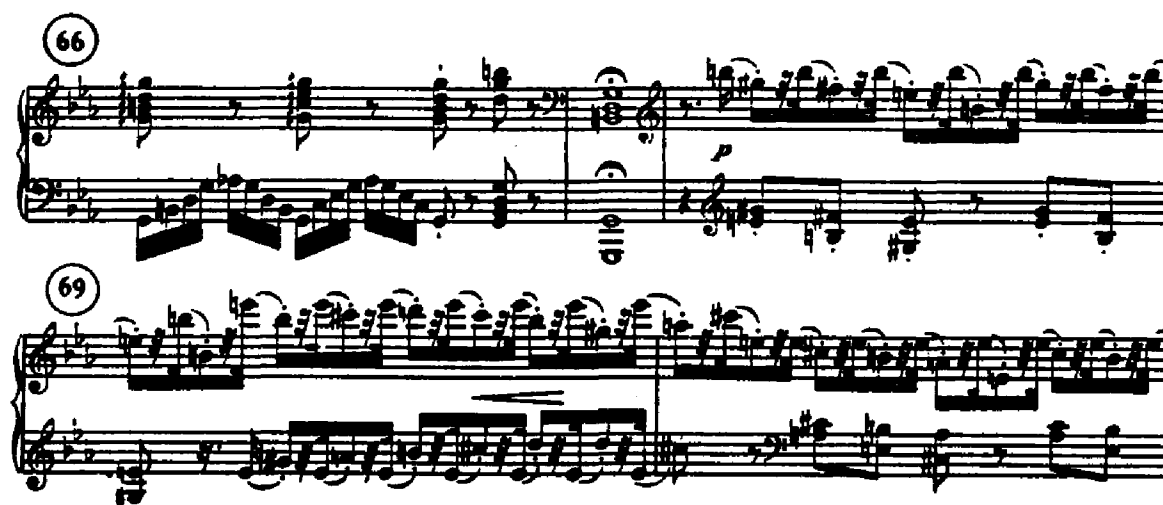
At the beginning of the development, Haydn moves immediately from the B flat major of the exposition to a G-major chord held under a fermata (Ex. 1-10).



Example 1-10. Hob. XVI:52/I, mm. 44-47.

⁷Two of the more famous analyses of this sonata that mention this relationship are Sir Donald Francis Tovey, "Haydn Pianoforte Sonata in E flat, No. 1 (1900)," *Essays in Musical Analysis: Chamber Music* (London: Oxford University Press, 1944), 93-105, and Leonard Ratner, "Haydn, Sonata in Eb Major," *Classic Music*, 412-21. See also Lawrence K. Moss, "Haydn's Sonata Hob. XVI:52 (ChL. 62) in E-flat Major: An Analysis of the First Movement," in *Haydn Studies*, 496-501.

This chord turns out to be a dominant, not of C minor, but of the less expected C major, the submediant major. Here begins a series of modulations lasting through m. 67, where a similar G-major chord occurs (it has the same left-hand octave, the same sixth in the right hand (B-G) taken down an octave and filled in with a D, and also like the first it is held under a fermata). This G-major chord, though, is much more emphatically stated, and because of the E flats in the preceding three bars, it seems surely to prepare C minor. Another option, as Tovey points out, would be that from here the recapitulation might abruptly enter, utilizing the V/vi- I progression often found between movements of a Baroque concerto.⁸ Instead of either of these two options, Haydn begins again in the wholly unexpected key of E major (Ex. 1-11). The new key is so surprising that it will remain in the listener's memory, paving the way for the shocking E flat-E relationship between the first two movements.



Example 1-11. Hob. XVI:52/I, mm. 66-70.

⁸See Tovey, 99.

Sonata No. 20

The composition of the Sonata No. 20 in C minor was begun in 1771, but it is not known when Haydn completed the work; at any rate nine years passed before its publication. It holds many distinctions, including being the first work in Haydn's solo keyboard output to be called a sonata,⁹ and the first such work to include written dynamics, indicating Haydn's preference for the *fortepiano*. The sonata's central movement is in A flat major, having a major-third relationship with the outer movements that he had not used before in his sonatas, and had used only twice in his symphonies and quartets.¹⁰

In a tonal sense, the second movement begins ambiguously, with an unaccompanied E flat (Ex. 1-12).



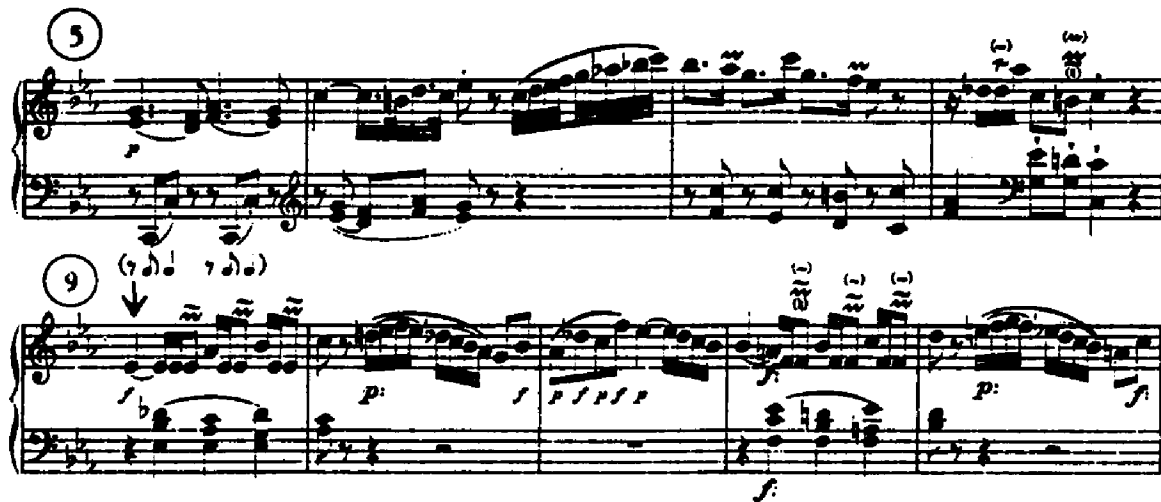
Example 1-12. Hob. XVI:20/II, mm. 1-4.

Coming after the first movement's solid C-minor close, this E flat is probably heard as either the relative major or as the third of a continued C minor. With the striking of the first left hand note (a C), the latter interpretation becomes the more likely, but by the time the two voices diverge to the A

⁹As opposed to either *divertimento* or *partita*. See Christa Landon, xvii.

¹⁰The Symphony No. 39, written in 1768, is in G minor, with its second movement in E flat major, and the Quartet in D minor, Op. 9, no. 4 (Op. 9 was composed from around 1769 to 1771), uses B flat as the key of its third movement.

flats in m. 2, the true function of the opening E flat becomes clear. Haydn tonicized A flat major in a similar fashion at the beginning of the transition in the first movement (Ex. 1-13).



Example 1-13. Hob. XVI:20/I, mm. 5-13.

After the tonic cadence in m. 8, the solo E flat in m. 9 has basically the same possibilities for interpretation by the listener as it does at the opening of the second movement, i.e., first as either the root of the relative major or the third of a continued tonic, and only remotely as the root of a dominant to the flat submediant, to which it proceeds in the next measure. It is possible that the transitional progression in mm. 9-10 inspired Haydn to introduce the key of the second movement in a similar manner, but even if the relationship was subconscious, its presence subtly enhances tonal unity between the movements.

Sonata No. 38

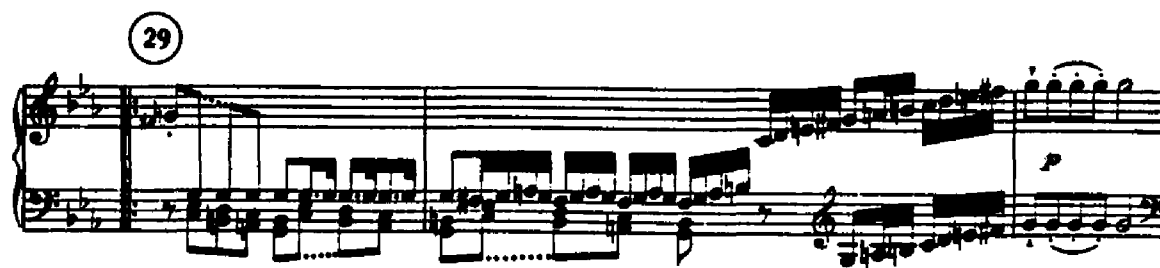
Haydn's Sonata No. 38 in E flat major belongs to a set of six sonatas (Nos. 35-39 and 20) that with the exception of No. 20 (discussed above) was

written in the mid- to late-1770s, and published by the Viennese publisher Artaria in 1780. The sonata is in three movements, with an opening Allegro moderato followed by a C-minor Adagio and a minuet Finale. The use of the submediant as the key of the middle movement is rare for Haydn--it occurs only one other time in a keyboard sonata, and only twice in all his symphonies, quartets, and trios.¹¹ This fact does not guarantee any special relationships between tonic and submediant in these works, yet it is notable that the one symphony and the one quartet with this relationship are both, like this sonata, in the key of E flat.

In the case of this sonata, Haydn creates strong ties between E flat major and C minor in the first two movements that result in a tonally more unified whole. These ties are defined in a general way by a C-minor emphasis in the first movement's development section and a constant alternation between C minor and E flat within the second movement. More specifically, though, Haydn employs in both movements a similar abruptness of modulation in dealing with the two keys, in several places emphasizing the contrast through direct juxtaposition.

For example, the development in the first movement begins abruptly, establishing C minor and its dominant (Ex. 1-14). Thus, when the second repeat is played, E flat and C minor are directly juxtaposed.

¹¹The early Sonata No. 2 contains this relationship, as do the Quartet, Op. 9, no. 2 (1769-71?), and the Symphony No. 103 (1795).



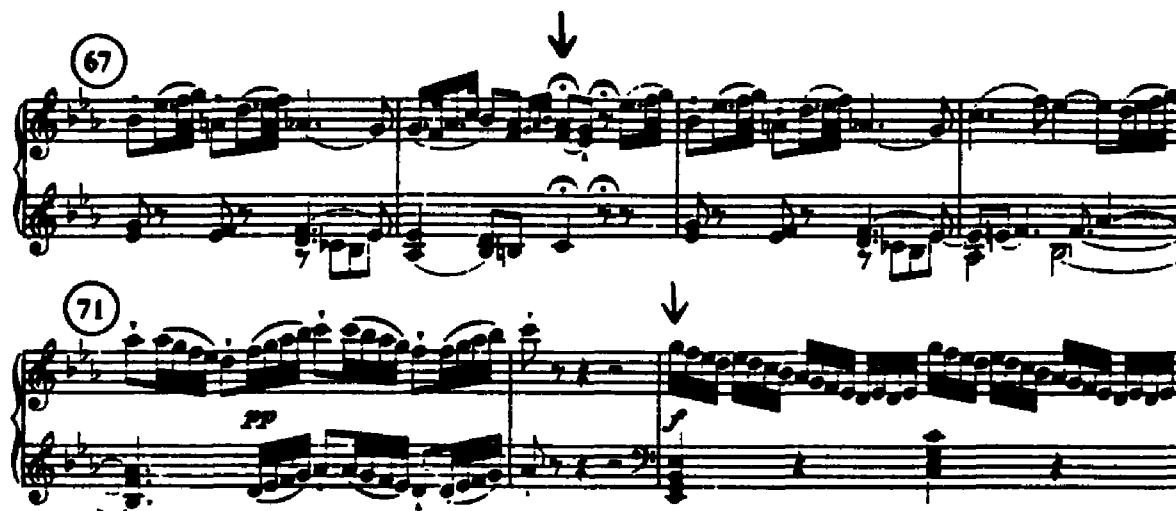
Example 1-14. Hob. XVI:38/I, mm. 29-31.

In m. 40, the submediant returns, and is clearly emphasized for the remainder of the development. Haydn essentially omits any retransition, but instead, in m. 48, begins a false recapitulation in C minor (Ex. 1-15).



Example 1-15. Hob. XVI:38/I, mm. 47-50.

After only three beats, however, he abandons the pretense, and an ascending E-flat-major scale prepares the true recapitulation, which begins in m. 49. Thus both ends of the development section are demarcated by a harmonic shift to or from C minor, and the premature return of the main theme in C minor (m. 48) lends thematic support to the harmonic association. Furthermore, near the end of the movement, an expressive deceptive cadence in m. 68 and strong blocked E-flat and c chords in m. 73 (highlighted by the preceding rests, spaced identically and with identical right hand figures; see Ex. 1-16), also underscore the conflict between these two keys.

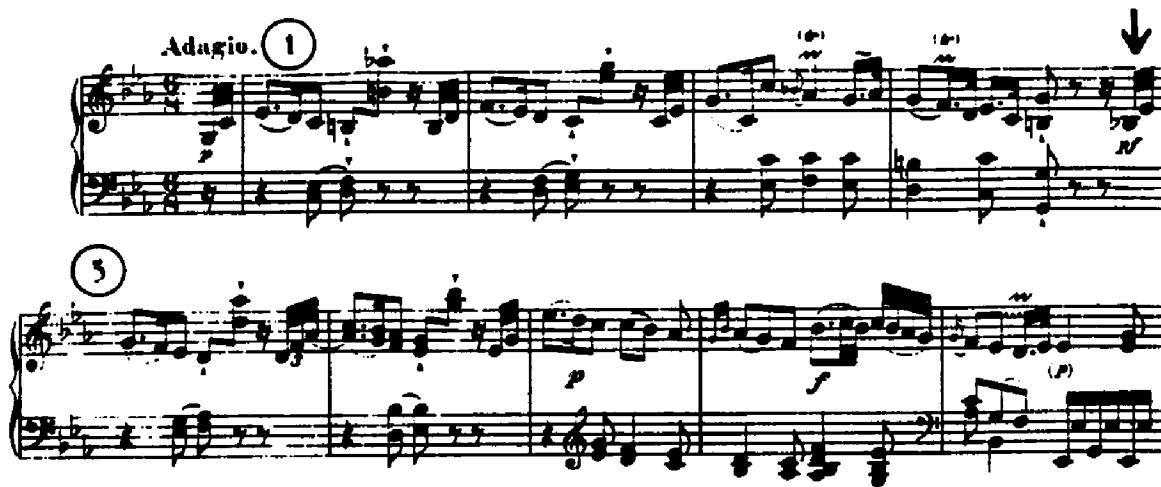


Example 1-16. Hob. XVI:38/I, mm. 67-73.

Haydn continues the juxtaposition of these keys in the slow movement of this sonata, an Adagio in C minor. This movement has what is essentially a varied reprise structure,¹² in which the exposition, mm. 1-13, is given a written-out, varied repeat in mm. 14-26 in place of a strict repetition. Harmonically the first section has two parts: the opening phrase in C minor, and mm. 5-13, which are in E flat major. The opening phrase ends with a half cadence, and the second phrase begins (in E flat) without benefit of harmonic transition (Ex. 1-17). The progression that results (a G-major dominant proceeding directly to the relative major) is not highly unusual, yet its abruptness is consistent with the way E flat and C minor were treated in the first movement. There is likewise no transition between the E-flat cadence in m. 13 and the beginning of the varied repeat of the section in the next measure, nor, of course, is there any in mm. 17-18, which correspond to mm. 4-5. The unprepared alternation between E flat and C minor in this

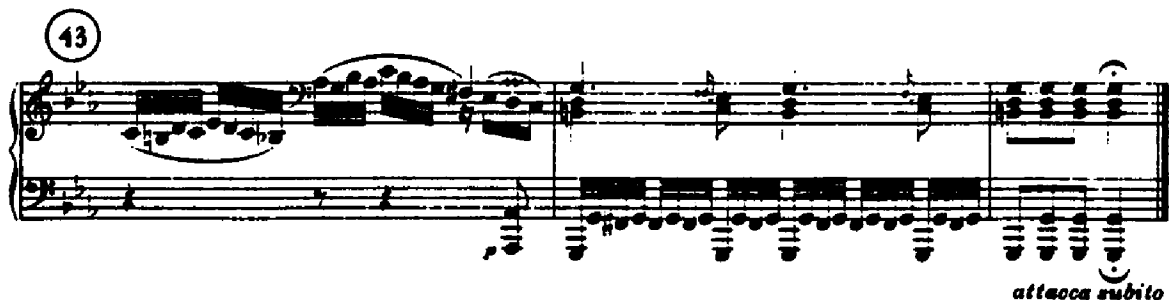
¹²Adapted from the form first expounded by C. P. E. Bach; see Brown, 219-21, 323.

movement continues the sense of conflict that Haydn started in the development of the first movement.



Example 1-17. Hob. XVI:38/II, mm. 1-9.

The brief passage in mm. 27-32 that eventually modulates from the relative major back to the tonic constitutes the entire development section. Of particular note is m. 29, in which E-flat and C chords (both as dominant sevenths) are directly juxtaposed. The recapitulation starts in m. 33, with a second variation of the theme, rather than a literal repetition. Haydn discontinues the variation after reaching the first half cadence (m. 36), and at this point, he continues in the tonic (consistent with sonata form procedure) until the final half cadence in m. 45 (Ex. 1-18).



Example 1-18. Hob. XVI:38/II, mm. 43-45.

The Adagio is linked to the Finale by the indication *attacca subito*, which provides an additional--perhaps the most important--link between E flat major and C minor in this sonata. As in mm. 4-5, the progression is from G major as dominant to E flat major as a new tonic, and so one sees the transition between the second and third movements reflected on a local level in the second movement. Although this progression is not so unusual, it gains in significance given that of the seven Haydn sonatas with linked second and third movements, this is the only sonata in which the finale is not prepared by the home key's dominant. This focuses attention on the tonic-submediant relationship, and in the context of the other juxtapositions of E flat and C minor it contributes to the sonata's tonal unity.

Additional Examples of Tonally Unifying Passages

Sonata No. 20

In the development sections of major-key sonata movements, Haydn often stresses the submediant. This emphasis often takes place directly before the retransition, with an authentic cadence in the submediant that in an harmonic sense marks the end of the development. It is clear that in general the submediant was a normal, almost obligatory key area to establish at some point in the development. Haydn seems often to have used it as the tonal anchor of the development, if not as the harmonic climax of the section, and as the key that initiates the transition to the recapitulation.

In the case of Haydn's five mature minor-key sonatas (Nos. 44, 20, 32, 36, and 34), the minor dominant is frequently employed in the development section. For example, in the C-minor Sonata (No. 20), Haydn uses the minor dominant in the first and third movements in a fashion similar to his use of

the submediant in major-key sonatas. In the first movement, Haydn briefly tonicizes an unusual number of keys in the development, as evidenced by Ex. 1-19.



Example 1-19. Hob. XVI:20/I, bass-line sketch of mm. 38-68.

In m. 61, Haydn turns towards G minor for the climax of the section and its only authentic cadence, which comes in m. 65 (Ex. 1-20).

Example 1-20. Hob. XVI:20/I, mm. 61-67.

In mm. 62-64, Haydn does not use G minor for the development of thematic material--rather, he uses it dramatically for bravura figuration and harmonically as a tonal anchor directly before the retransition. With G minor established, all that remains for Haydn to accomplish in the retransition is the change of mode, which he does in m. 68.

The third-movement development is much less extensive, but Haydn makes even more of a point of establishing the dominant minor. As in the first movement, the only authentic cadence of the section is on g (at m. 74 one assumes G minor, though this proves to be the beginning of a pedal point on the home dominant seventh). Haydn utilizes a long sequence in mm. 57-64 to approach V/vi, on which he settles in m. 65 (Ex. 1-21). The next nine measures develop the main theme of the secondary key area in the exposition, before the aforementioned authentic cadence closes the section in m. 74. In both movements, then, Haydn employs the minor dominant as the development's harmonic goal directly before modulating back to the tonic. Because of this significant structural function in the outer movements, the minor dominant contributes to the tonal unity of the cycle as a whole.



Example 1-21. Hob. XVI:20/III, mm. 56-67.

Sonata No. 21

Haydn undoubtedly considered the C major Sonata No. 21 to be primarily amateurs' music. It is the opening work in the 1773 set of sonatas, and probably partly because of its position it is more sunny in character, and not terribly difficult to play. The musical language decidedly avoids being too adventurous, apparently in keeping with what Haydn thought suited the tastes of Prince Esterházy.

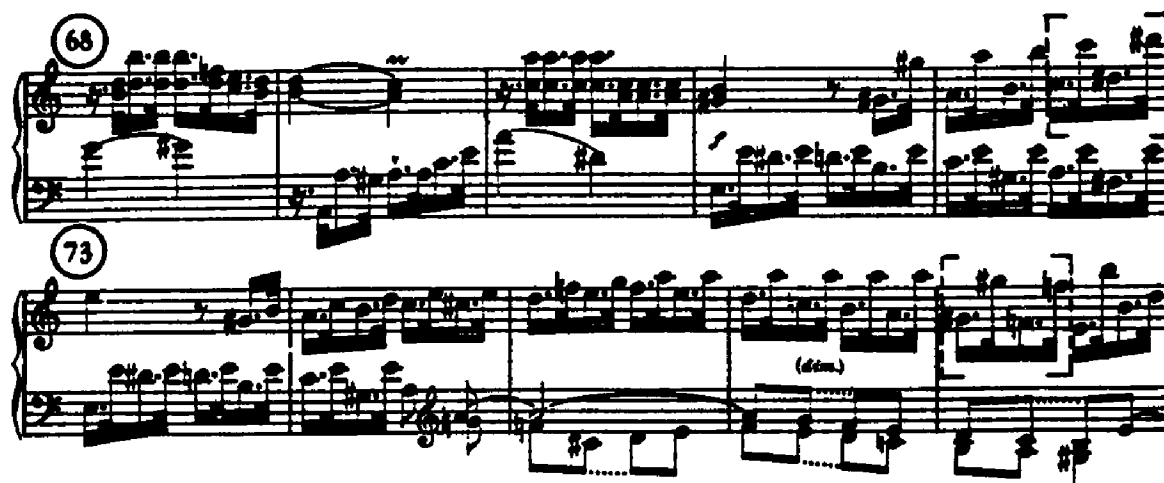
However, within the sonata's somewhat conservative use of harmony, its first and third movements display a distinctive use of mode mixture that increases the tonal unity of the cycle. The first such appearance is the sudden G minor in mm. 36-40 of the first movement, in the middle of the secondary key area (G major) of the exposition. This passage is omitted from the recapitulation, but an even more extended parallel minor passage (mm. 125-131; Ex. 1-22) takes its place.



Example 1-22. Hob. XVI:21/I, mm. 125-132.

These bars occur over a dominant pedal and the interval of an augmented second, first between the lowered $\hat{3}$ and $\sharp\hat{4}$ and then between $b\hat{6}$ and $\sharp\hat{7}$, is

prominently featured. The augmented second was first heard in this context in the development (mm. 72 and 77; Ex. 1-23), between the same scale degrees in the submediant key.¹³



Example 1-23. Hob. XVI:21/I, mm. 68-77.

In the Finale there are hints at the parallel minor in mm. 23 and 26 in the exposition and at the parallel spots in the recapitulation (mm. 99 and 102). In these cases the lowered third is immediately contradicted by the raised, yet the similarity in figuration recalls the first movement. More telling, though, is the mode mixture at the beginning of the development, which begins in C minor, and which in its first measure melodically juxtaposes $b\hat{6}$ and $\sharp\hat{7}$ (Ex. 1-24). The figuration (parallel sixths and tenths with a dominant pedal) is also similar to that of the first movement. Because of the distinctive augmented second and the similarity of the figuration, these seven measures clearly recall the use of minor mode in the first movement, and thus enhance the tonal unity of the whole.

¹³Both this development passage and mm. 125-31 derive originally from mm. 27 and following in the exposition, where the mode was major.



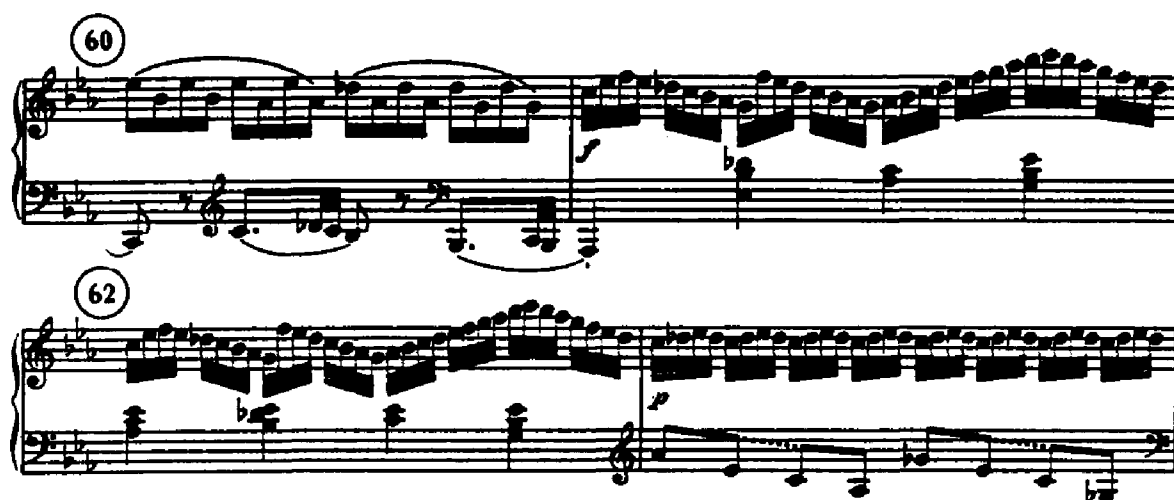
Example 1-24. Hob. XVI:21/III, mm. 49-59.

Sonata No. 52

Haydn's Sonata No. 52 was composed on a larger scale than any of his other keyboard sonatas, and partly on account of the immense scope of the work Haydn was able to expand its harmonic range and diversity greatly. The result is Haydn's most far-ranging sonata in an harmonic sense, and yet there are several intermovement relationships, one of which was analyzed in the above section, that help solidify the sonata's tonal structure. In particular, Haydn's employment of the subdominant in the outer movements and his emphasis on the submediant major in the first two movements tend to supply strands of continuity in the harmonic fabric.

The subdominant is strongly reflected in the first twelve measures of the sonata. Not only is A flat tonicized immediately in the opening theme (m. 1), and again in m. 9, but also the chromatic motive in m. 6 both begins on the subdominant and melodically emphasizes D flat at the end of the measure. D flats occur again in mm. 11 and 12, both times in chromatic passing motions reminiscent of that in mm. 6-7.

The development sections of the first and third movements feature noteworthy passages in the key of A flat. In the first movement this occurs in mm. 61-63 (Ex. 1-25). The three measures preceding this passage derive from the motive in m. 6. In the exposition this motive hinted strongly at the subdominant, and here, significantly, this motive is used in a sequence that leads decisively to the A flat major in m. 61. Mm. 61-62 are based on mm. 24-25 in the exposition, and feature virtuosic scale passages in the right hand accompanied by blocked tonic and dominant harmony.



Example 1-25. Hob. XVI:52/1, mm. 60-63.

In the Finale, Haydn introduces A flat in mm. 123-27. This statement of the first five measures of the main theme, occurring after a full stop, calls attention to itself; it is the only statement of the main theme in the development. The ensuing eight bars (mm. 128-35) remain in A flat, and they also stand out because of their recognizable similarity to the A-flat passage in the development of the first movement (Ex. 1-26; compare to Ex. 1-25).



Example 1-26. Hob. XVI:52/III, mm. 119-136.

They are similarly virtuosic in nature, and composed of right-hand scalar passagework with tonic- and dominant-function accompaniment. Later in the development Haydn returns emphatically to A flat, with a tonicization in mm. 177-78 followed by forceful repeated A-flat chords (the only chords marked *fortissimo* in the development). Haydn, then, makes significant use of the subdominant in the developments of the outer movements, and in so doing realizes tonal potential that was hinted at in the opening bars of the sonata.

The other tonal relationship that requires mention involves the use of the submediant major in the first two movements. It was noted above (cf. the first discussion of this sonata and Ex. 1-10) that Haydn moves unexpectedly to C major at the beginning of the development in the first movement (m. 46), immediately after he has just cadenced in the dominant

to end the exposition. In the Adagio of this sonata Haydn again introduces C major, this time even more unexpectedly and in a more dramatic fashion. This occurs in mm. 9-11 (Ex. 1-27), at a structural point similar to that in the first movement--i.e., just after a cadence in the dominant at the end of the first section. This brief and dramatic reappearance of C major, particularly because of its similar formal placement, recalls the first movement's use of the key, and thus contributes to the tonal unity of the sonata.



Example 1-27. Hob. XVI:52/II, mm. 9-12.

CHAPTER TWO

UNITY THROUGH SHARED LOCAL HARMONIES

In many of his mature sonatas Haydn gives prominence to certain local harmonies and thereby increases the sonata's tonal consistency. There are several sonatas in which a given chord or sonority is used in such a way that the listener becomes aware of its presence as a unifying force between movements. In each of the examples below, the listener is made aware of the enhanced unity without any tonal emphasis per se; i.e., the unifying harmonies are not established as key areas, as in the case of the examples in Chapter One. Rather, these are local harmonies that appear in more than one movement in a significant enough fashion to create a unifying effect in the work as a whole.

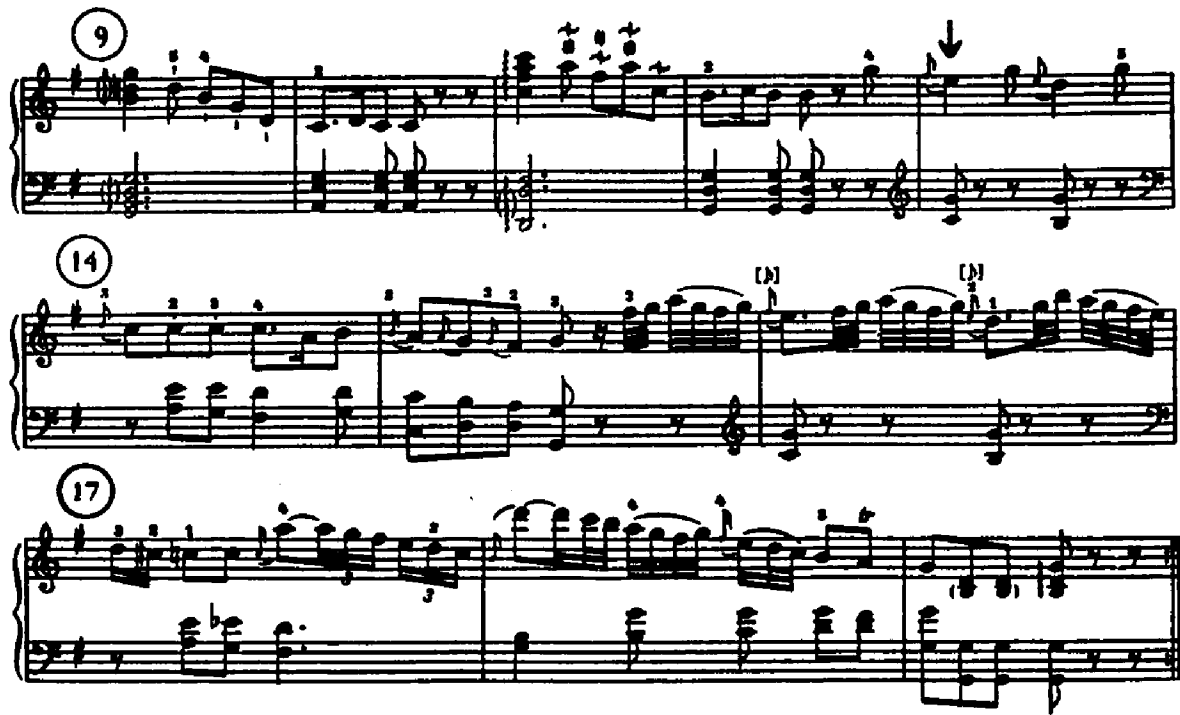
One might immediately notice that of six sonatas presented as examples in this chapter, four are in the key of D major. After analyzing the tonal unity in each of the six, it will be revealing to compare Haydn's tonal palette in these D-major sonatas. In many respects Haydn's treatment of D-major tonality is different in each of the four, and yet the harmonic emphases that define these differences form unifying relationships among the movements of each one.

Sonata No. 47

The Sonata No.47 in E¹ gains tonal consistency from the abundance of appoggiaturas in its first and second movements.² While not entirely a harmonic issue (in fact the unity will be shown to derive largely from motivic considerations), the presence of the appoggiaturas nonetheless contributes distinctive sonorities that have a definite unifying effect in this sonata. In the Adagio, which is essentially a miniature sonata form, appoggiaturas first appear in mm. 13-17, within the secondary key area of the exposition (Ex. 2-1). The ear is especially drawn in these measures to the subdominant harmony on the downbeat of m. 13 (repeated in m. 16), which has an augmented fourth over the bass in the melody.

¹This sonata was probably written around 1765, making it the earliest keyboard sonata to be considered in this study. The Hoboken number results because of a later version of the sonata in F major that was published by Artaria in 1788. The F major version uses an entirely different first movement (the general consensus is that it is not even by Haydn), and transposes the first two movements of the original version for its second and third movements. Questions concerning the sonata's chronology and authenticity are addressed in Brown, 71-73, as well as in Landon's preface, xvi and xxi-xxii, and the complete version in E appears as Sonata No. 19 in Landon's Vienna Urtext edition.

²Appoggiaturas are loosely defined in this discussion as accented dissonances with descending stepwise resolutions, which includes suspensions, accented passing notes, and of course appoggiaturas in the strict sense of the term.



Example 2-1. Hob. XVI:47/I, mm. 9-19.

In the brief development, mm. 24-27 feature a sequence of descending fifths in which each stressed beat contains an appoggiatura (each at the interval of a fourth over the bass; Ex. 2-2). In addition, the former appoggiaturas appear in the tonic in mm. 38-42, although under somewhat different harmonic circumstances.³

³Mm. 13-17 are repeated harmonically in mm. 40-44, yet mm. 43-44 have no appoggiaturas. Interestingly, the groups of appoggiaturas in mm. 13-14 and 16-17 reoccur in mm. 38-39 and 40-41, even though the harmonic progression in mm. 38-39 is different.



Example 2-2. Hob. XVI:47/1, mm. 24-28.

The Adagio is connected *attacca* to the second movement of this sonata, which creates an obvious linkage between the two movements.

Furthermore, the Allegro is even more permeated with *appoggiaturas*, many of which arise through motivic similarities with the preceding movement.

Mm. 15-17 are clearly related to mm. 13-14 in the Adagio, featuring a descending sequence of three *appoggiaturas* led off similarly by an augmented fourth over subdominant harmony (Ex. 2-3; compare with Ex. 2-1).

Example 2-3. Hob. XVI:47/II, mm. 12-21.

This motive plays an important role in later thematic development; thus many of the movement's appoggiaturas stem from it. Notice in particular the passage in mm. 28-33, in which the initial augmented fourth (m. 15) is intensified to a major seventh (m. 28) and twice repeated (Ex. 2-4).

Example 2-4. Hob. XVI:47/II, mm. 26-35.

The first motive of the Allegro is also related to the Adagio (as is the incipit of the final movement as well). Haydn alters the descending scale that begins the Adagio by making its first note a pickup rather than a downbeat, and the resulting rapid appoggiatura figure on the downbeat sets a precedent for much of the movement, given the motive's prevalence. Not only do repetitions of this motive form most of the main theme of the movement (mm. 1-6), but as with the motive in mm. 15-17, they account for a great amount of later thematic development. Perhaps most prominent in this regard is the digression Haydn makes near the beginning of the recapitulation (mm. 90-96), in which almost every beat utilizes this motive. In summary, Haydn's ample use of appoggiaturas in this sonata produces distinctive sonorities that establish a certain tonal consistency.

Sonata No. 46

The outer movements of the Sonata No. 46 were seen in Chapter One to emphasize the submediant in a similar fashion in their developments. In the realm of more local harmonic activity, the first and second movements of the sonata are bound together in an interesting fashion. More detail concerning the harmonic progressions involved will be given in the next chapter, but basically both movements make significant local use of mode mixture and, associated with this mixture, the local flat submediant.

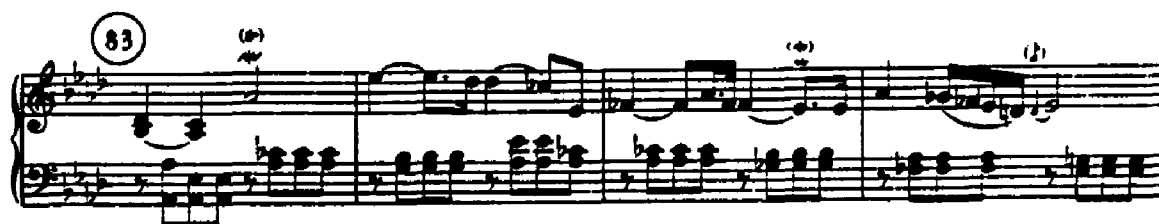
There are several places in the opening movement where Haydn introduces a sudden and unexpected mode mixture. In the exposition, this occurs in m. 31 (Ex. 2-5), where the listener expects a cadential six-four or a V^7 in E flat and a cadence by the second half of the measure, as occurs in the second half of m. 34 going into m. 35. Instead, Haydn delays the cadence for a measure, using a minor six-four and then, significantly, proceeding up by

half-step in the bass, to the $\flat\hat{6}$ scale degree under an augmented-sixth chord; this creates a distinctive harmonic motion even further away from expectations.



Example 2-5. Hob. XVI:46/I, mm. 28-33.

A similar passage occurs near the beginning of the recapitulation (Ex. 2-6). In m. 83, Haydn begins the theme unexpectedly in A flat minor rather than major, and at the cadence three measures later, employs an augmented-sixth chord over $\flat\hat{6}$ in the bass. In mm. 84-85, the distinctive $\hat{5}-\flat\hat{6}$ motion occurs in the melody, supported by tonic minor and flat-submediant harmony.



Example 2-6. Hob. XVI:46/I, mm. 83-86.

The D-flat-major Adagio of this sonata is also in sonata form, but contains no evidence of modal mixture during the whole of its exposition or development. Then, at the beginning of the recapitulation (m. 45), at a structural point similar to that in m. 83 in the first movement, Haydn begins a sequence that has two instances of mode mixture. Though significant, these still do not really compare with the effect of the mixture in the first movement. Finally, though, at what would have to be labeled the climactic moment of the movement, in m. 72, Haydn returns with telling effect to both the sudden minor (a cadential six-four as in mm. 31 and 105 of the Allegro), and the subsequent bass rise to $\flat\hat{6}$ (m. 73), here supporting \flat VI harmony (Ex. 2-7). More detail concerning the ensuing passage will be given in the chapter on harmonic progressions; here it will suffice to note that the progression is extended dramatically before Haydn finally cadences in mm. 77-78.



Example 2-7. Hob. XVI:46/II, mm. 69-80.

Sonata No. 24

In the previous chapter it was proposed that the final section of the Presto in this sonata (mm. 81 to the end) recalls several aspects of the first movement, especially the first movement's emphasis on the submediant. Concerning harmonic activity on a more local level, this section recalls a transitional passage first heard in mm. 9-12 of the first movement (Ex. 2-8).

Example 2-8. Hob. XVI:24/I, mm. 6-16.

The salient harmonic features of this passage are its exposed diminished fifths and augmented fourths on successive downbeats and the dominant pedal in the left hand. Besides reappearing at the parallel place in the recapitulation, this theme returns in varied form twice in the development (in mm. 52-59, where it is ingeniously combined with the main theme of the movement, and mm. 78-80), and once near the end of the movement (mm. 143-46; Ex. 2-9), each time impressing its prominent tritones upon the ear. In its last guise, the structural counterpoint is inverted: the tritones are taken over by the left hand, and the octaves are heard above in the right hand.



Example 2-9. Hob. XVI:24/I, mm. 142-146.

The final section of the Presto contains two passages that present an altered form of this first movement theme (mm. 88-92 and 98-102; Ex. 2-10).



Example 2-10. Hob. XVI:24/III, mm. 86-103.

Haydn has stripped away any thematic character, leaving only the prominent augmented fourths and diminished fifths and a dominant pedal. The tritones always appeared before on the downbeat, but have here been shifted over one beat, perhaps to coincide with the movement's prevailing third-beat accents. Mm. 98-102 bear particular resemblance to the first movement because the tritones are not only sounded alone, as they

characteristically were in the first movement, but are also given to the left hand and follow a deceptive cadence, as occurred near the end of the first movement (see Ex. 2-9). This results in a recall of the end of the opening movement at the end of the Finale.

Sonata No. 37

The Sonata No. 37 in D major was probably written in the late 1770s, and was published in Haydn's first collection for Artaria in 1780. It is essentially one of Haydn's 'Liebhaber' sonatas,⁴ yet it has several harmonic subtleties involving flat-submediant and Neapolitan harmony that help bind it together and that prevent it from being a sonata only for amateurs.

The exposition of the first movement is very straightforward harmonically. The main moment of interest occurs in mm. 30-31, where Haydn introduces a striking B-flat-major arpeggio (a Neapolitan chord) that dramatically interrupts the musical flow (Ex. 2-11).



Example 2-11. Hob. XVI:37/I, mm. 30-36.

⁴In the sense of the contemporary distinction between Kenner ("connoisseurs") and Liebhaber ("amateurs").

The arpeggio reaches f^3 (the highest note available on most keyboard instruments of Haydn's time) three times in this passage, most distinctively on beats two and three in m. 31.

At the corresponding place in the recapitulation, the listener no doubt expects a similar continuation, which would result in an E-flat-major chord in mm. 93-94. Unexpectedly, though, Haydn proceeds to bVI , or B flat major, the same harmony used in the exposition. Here root position B flat major is used rather than first inversion, but in m. 94, the same repeated f^3 s appear (these two passages contain the only f^3 s in the movement).

The D-minor episode of the third movement (mm. 21-40) has several notable harmonic features. Certain aspects of its progressions bind it to the second movement and will be analyzed in Chapter Three, yet in addition there is a clear harmonic reference to the first movement to be found in the second half of the episode. This occurs in mm. 37-38, where Haydn lands on B flat major (Ex. 2-12).



Example 2-12. Hob. XVI:37/III, mm. 29-40.

Haydn has already introduced B flat major once in this episode, in the deceptive progression at its opening, yet is even more emphatic here. Just as occurred twice in the first movement, Haydn signifies the arrival by sounding the note f^3 on consecutive beats (again the only f^3 s in the movement), and further emphasizes it with one and a half beats of silence afterwards (compare Exs. 2-11 and 2-12).

Haydn's use of Neapolitan harmony in the first two movements of this sonata deserves brief mention. The opening movement's first B-flat-major passage (mm. 30-31; see Ex. 2-11) functioned as Neapolitan harmony, and additionally, during a B-minor episode in the development, C major appears as the Neapolitan (m. 55). Then, at the climax of the D-minor Largo there is a fortissimo E-flat-major chord (m. 16; Ex. 2-13), that, particularly because of its forcefulness, might well remind one of the first movement Neapolitans.



Example 2-13. Hob. XVI:37/II, mm. 14-19.

Sonata No. 42

The D-major Sonata No. 42 is the last in the group of three two-movement sonatas that Haydn wrote in 1784 for the Princess Marie Esterházy. After this time Haydn returned, at the request of his publishers, to the composition of keyboard trios, and the first of his five remaining solo sonatas (Sonata No. 48) did not appear until five years later, in 1789. The Sonata No. 42 opens with an expansive Andante variation movement, and

has a second movement in a binary form of highly unusual proportions--its two strains run 8 and 93 measures respectively. In both movements Haydn stresses B major (the dominant of the supertonic), and often does so in close connection with the note C natural, employed either in C-major or A-minor first-inversion chords, or as part of a dominant ninth or diminished seventh of E minor.

Harmonically, the first section of the variation theme is quite straightforward with the exception of its sixth measure (Ex. 2-14). The C-major first-inversion chord on the downbeat of this measure is quite unexpected, and it resolves to an accented but unstable B-major chord (V/ii) on the second beat. Notable about the measure are the surprising emphasis on the B-major harmony as well as this chord's close association with C natural, mostly in the C-major triad, but also at the end of the measure, where as part of a diminished seventh it serves to intensify the drive toward E minor.

①
Andante con espressione.

④

Example 2-14. Hob. XVI:42/1, mm. 1-8.

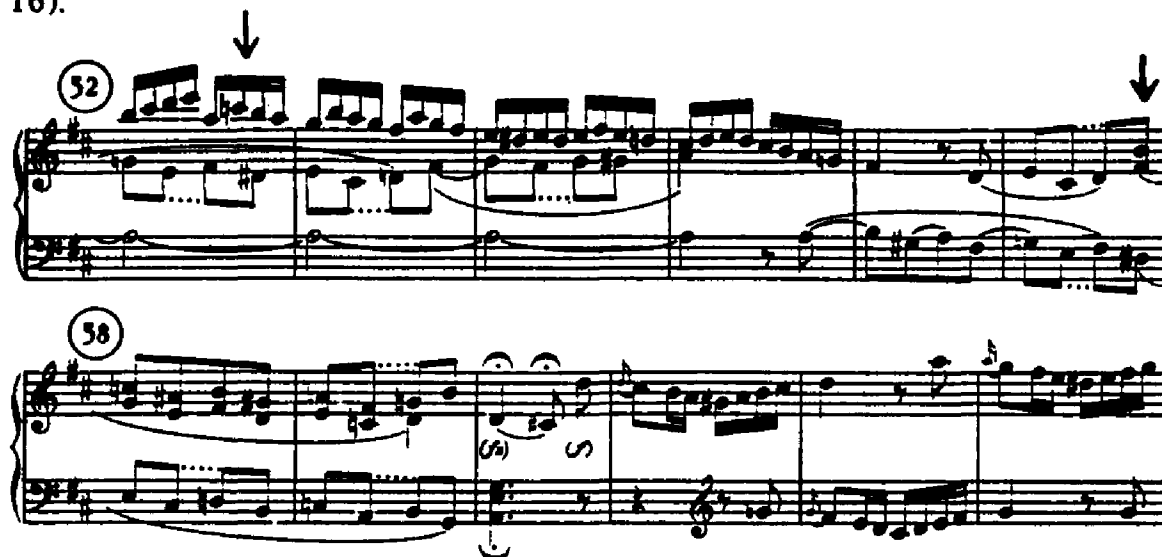
The second portion of the theme contains two tonicizations of E minor. The section begins in the left hand with a sudden forte B-major arpeggio that is followed immediately in the right with a C natural (in the same register as in m. 6). The C functions here as a minor ninth, continuing its local association with B-major harmony. Upon its return in mm. 13-20, the main theme is varied. The E-minor tonicization from mm. 6-7 is greatly intensified in m. 18, and one notices that here the B-major dominant is replaced entirely by $\text{vii}^{\text{o}7}/\text{ii}$, with the note C (again c^3) still featured prominently in the melody. In three places, then, the variation theme tonicizes E minor, and in each of these places strongly emphasizes the preceding chord of dominant function.

The second movement is colored throughout by numerous occurrences of the pitch D sharp, sometimes as a non-harmonic tone, as in mm. 3 and 5, but most often as the third of an implied or actual B-major chord. The first D sharp appears unharmonized in the first bar (Ex. 2-15) as part of the main theme of the movement.



Example 2-15. Hob. XVI:42/II, mm. 1-8.

When this theme recurs in m. 52, the D sharp appears in conjunction with a C natural in the same register (c^3) as those in the theme of the Andante (Ex. 2-16).



Example 2-16. Hob. XVI:42/II, mm. 52-63.

Other prominent examples occur in mm. 26-27 and 57-58, where B-major chords in first inversion move to C major, in a reverse of the motion in m. 6 of the first movement (see Ex. 2-16). While he never strays far from tonic or dominant in either movement, Haydn colors each with repeated tonicizations of E minor, placing emphasis on the dominant B major and the borrowed C natural that can be traced back to m. 6 of the Andante.

Sonata No. 51

Little is known about the circumstances surrounding the composition of this sonata.⁵ It was probably written in England around the same time, 1794, as the final E-flat Sonata, though it is completely different in character.

⁵See Brown, 122-23 and 362-63.

It is the eighth and last of Haydn's two-movement sonatas, and is his only sonata that is devoid of repeats. The first movement is also unique in that its development section emphasizes \flat III (F major). This key is introduced as the relative major of the tonic minor, which is first sounded in m. 54 (Ex 2-17).



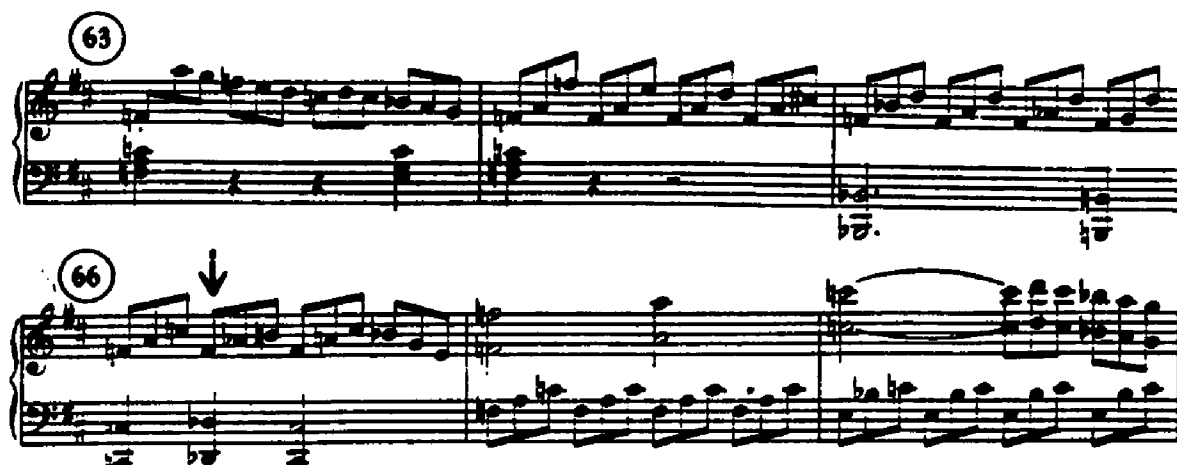
Example 2-17. Hob. XVI:51/I, mm. 54-59.

There are several instances of mode mixture in the second movement, and one important one at the end of the first, all of which involve $\flat\hat{6}$ as a neighbor. These instances recall the emphasis in the development on D minor and F major as well as several specific instances of $\flat\hat{6}$, thereby lending a tonal consistency to the sonata as a whole.

Example 2-18 shows the concluding nine measures of the Andante.

Example 2-18. Hob. 51/I, mm. 103-111.

The final tonic is reached in m. 106, and a pedal D that supports alternating tonic- and dominant-function harmony persists until the end. In mm. 106 and 107, Haydn writes dominant sevenths on beats three and four (over the pedal D). In the next two measures, he changes the As in the left hand to B flats, which on a local level simply intensifies the otherwise ordinary repetition. In addition, though, this use of a neighboring $\flat\hat{6}$ recalls the tonic minor emphasis in the development. It also recalls specific $\flat\hat{6}$ inflections such as in mm. 66 (Ex. 2-19), where the key is F major, and the left-hand D-flat octave has a similar intensifying neighbor effect, and 73, in which Haydn decorates the cadential six-four with chromatic neighbors.



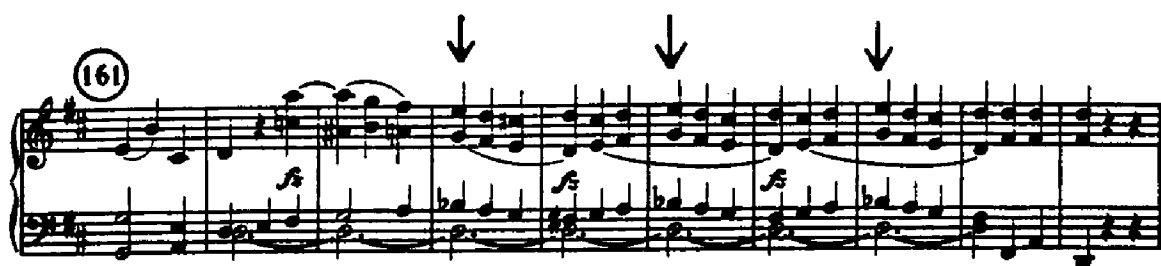
Example 2-19. Hob. XVI:51/I, mm. 63-68.

At the same time, this figure foreshadows a usage of $\flat\hat{6}$ that occurs repeatedly in the Finale. The opening section of the Finale (mm. 1-23) modulates to the dominant, and ends with a nine-measure tag that confirms the new key. The lowered sixth scale degree (here F natural) appears three times in this tag, in mm. 17, 19, and 21 (Ex. 2-20).



Example 2-20. Hob. XVI:51/II, mm. 9-27.

Points of comparison with the end of the first movement include not only the similar neighboring function but its placement in the left hand a minor sixth above the bass, as well as its occurrence in both passages over a tonic pedal. The passage returns three times during the movement (mm. 38-46, 100-108, and 162-70), and each time, despite other changes, these nine bars are left intact. The final two appearances are in D major (mm. 100-108 and 162-70; see Ex. 2-21), which makes their relationship to the passage at the end of the first movement all the more explicit.



Example 2-21. Hob. XVI:51/II, mm. 161-170.

The last four sonatas discussed above are in the key of D major, and a brief comparison of some of the harmonic characteristics of each will help to clarify the nature and extent of their tonal unity. The sonatas--Nos. 24, 37, 42, and 51--appeared in 1774, 1780, 1784, and around 1795 respectively, and thus their composition was spread out over a period of twenty years. In addition to their tonality, certain similarities in design can be noted. Nos. 24 and 37 each have an opening Allegro in sonata form and a slow second movement in D minor that is connected by an attacca or segue to a light-

hearted Presto finale.⁶ Also outwardly similar are Sonatas Nos. 42 and 51, each of which has only two movements, the first of which is an Andante. These similarities notwithstanding, each sonata has a significant degree of harmonic individuality; i.e., each emphasizes chords of different relationship to the overall D-major tonality.

The harmonic personality of each sonata is best defined by the first movement. This is not surprising given that in Haydn's sonatas the opening movements are usually the longest and most elaborate. The first movement of Sonata No. 24 is harmonically conservative, yet acquires individuality through its numerous prominent tritones, in addition to its many diminished and augmented-sixth chords. In contrast, the opening Allegro of Sonata No. 37, though basically conservative as well, ultimately distinguishes itself with its subtle use of B-flat-major and Neapolitan harmony, whereas the Andante *con espressione* of Sonata No. 42 is distinguished by its frequent tonicizations of E minor. Finally, Sonata No. 51's first movement stresses D minor and F major (bIII) in its development, and at its close has a recollection of this emphasis.

As discussed above, there are passages in the remaining movements of these sonatas that corroborate the idea of a consistent tonal palette for each work. For instance, the end of the Finale of Sonata No. 24 recalls the tritones and the submediant emphasis that were present in the first movement. On the other hand, it has no B-flat-major harmony (as in Sonata No. 37), and no distinctive D sharps or B-major sonorities (as in Sonata No. 42). B-major harmony plays a significant role in Sonata No. 42's Finale, recalling the B-major emphasis in the first movement; Neapolitan and B-flat-major

⁶The Sonata No. 33 in D major, probably written in the mid-1770s, also has this format, with the exception that a *Tempo di Menuet* takes the place of the Presto.

harmony appear in the second and third movements of Sonata No. 37, recalling occurrences of these chords in the first movement. Given that each of these D-major sonatas is unified by a different local harmony, it seems probable that these examples represent more than merely coincidental aspects of Haydn's normal D-major tonal palette.

CHAPTER THREE

UNITY THROUGH SHARED HARMONIC PROGRESSIONS

This final chapter concerns sonatas whose movements are unified by a distinctive use of harmonic progressions. This embraces a great variety of relationships, from local chord progressions to large-scale tonal plans of development sections. The examples will be broken down into the following categories: local harmonic progressions; sequences of six-three chords; closing section progressions; abrupt harmonic motion between sections; and larger-scale harmonic progressions.

Local Harmonic Progressions

Sonata No. 18

In both movements of Sonata No. 18, Haydn makes use of motives characterized harmonically by a rapid alternation between V^2 and I^6 chords. The progression is not unusual in any sense, but further rhythmic and motivic similarities create an undeniable connection between the movements. Example 3-1 shows mm. 13-19 from the first movement of this sonata.



Example 3-1. Hob. XVI:18/I, mm. 13-19.

Mm. 13-18 essentially prolong dominant-seventh harmony, in preparation for the arrival in the dominant key in m. 19. The decorative dominant-tonic motive begins at the upbeat to m. 17, and its immediate repetition produces the characteristic quick alternation between the two chords. It is emphasized by its extremely high register and its forte dynamic. The continued repetition of the motive in the right hand, supported by different harmony, leads to the m. 19 cadence. The new theme which begins here employs a similar motive, creating strong continuity between the transition and the beginning of the second theme group. Of course this motive appears in the parallel passage in the recapitulation (m. 92), and also, as mentioned in Chapter One (p. 9), it occurs in the submediant key in the development section (m. 54).

In the second movement one finds the obvious counterpart in mm. 36-37 (Ex. 3-2).



Example 3-2. Hob. XVI:18/II, mm. 35-39.

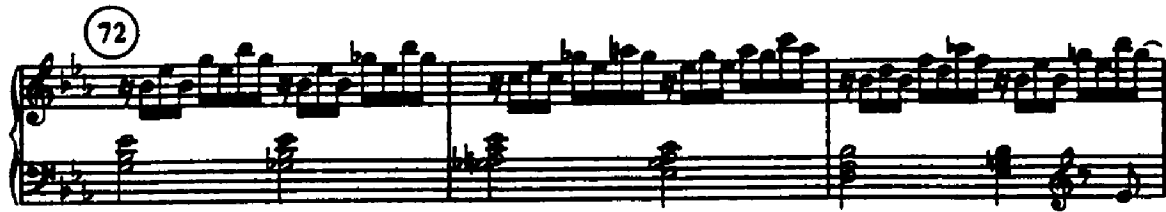
As in the Allegro the motive occurs after a sustained secondary dominant chord. Though in this movement the motive is not the first motive in the dominant key area (F major has clearly been present since m. 27), still it is extended to lead to the first authentic cadence in the dominant (m. 38), as also occurred in the opening movement. The motive recurs in the recapitulation (mm. 100-101) and development (mm. 59-60), the latter of which, once again, was noted in Chapter One (p. 10; Ex. 1-3) in connection with submediant emphasis.

Sonata No. 45

The Sonata in E flat major, No. 45, dates from 1766, making it one of the earliest sonatas of Haydn's maturity in spite of its late Hoboken number. It is one of Haydn's first sonatas to contain three broadly conceived movements, each of which is in sonata form. In the first two movements, Haydn employs a distinctive harmonic progression, distinctive not for its strange harmonic motion but for its place within the context of the movement. The basic progression in each case (not taking into account inversions) can be labeled I- i- vii^{o7}/V- V- I, the most significant difference

between them being that Haydn interpolates a \flat VI chord into the progression found in the second movement.

In the first movement the progression occurs in mm. 72-74 (Ex.3-3).



Example 3-3. Hob. XVI:45/I, mm. 72-74.

Structurally these measures fall within the recapitulation of the first theme group. Harmonically the progression's function is not to modulate but to prepare the tonic return of the second theme group. The right-hand broken chords arise naturally as a continuation of the figuration in the preceding three bars, but the left-hand blocked half-note chords are new. They are the only sustained chords of any type in the movement, and this, combined with the progression's striking mode mixture and somewhat static quality, causes these measures to stand out from the surrounding texture.

A similar progression occurs in mm. 44-48 of the Andante (Ex. 3-4).

Example 3-4. Hob. XVI:45/II, mm. 41-51.

Harmonically it is somewhat extended, featuring a similar progression but with the addition of a \flat VI chord after the tonic minor. This \flat VI chord intensifies the effect of the progression, especially given the right-hand rhythmic acceleration (thirty-second notes) in this measure. Except for these thirty-second notes, the progression has the same rhythmic inflexibility of that in the first movement, similar right-hand broken-chord figuration, and the sustained left-hand chords are once again the only such chords in the movement. The right hand figuration does not evolve from the preceding

measures this time, and despite several left-hand broken-chord figures earlier,¹ its presence almost certainly recalls the opening movement.

Sonata No. 46

In the Sonata No. 45, the first movement progression was intensified for its reappearance in the second movement by the addition of a measure with \flat VI harmony. An extreme case of this phenomenon occurs in the A-flat Sonata No. 46. In its first two movements Haydn makes significant use of sudden parallel-minor harmony followed by a distinctive rise (in all but one instance in the bass) from the fifth to the flat-sixth scale degree (cf. the discussion in Chapter Two), the harmony over the flat sixth being either an augmented-sixth chord or \flat VI.

The first time this progression appears is in mm. 31-32 of the first movement, and it is here in its most concise form (Ex. 3-5).



Example 3-5. Hob. XVI:46/I, mm. 28-33.

¹See mm. 4, 8, 10, and 13.

The characteristic rise from $\hat{5}$ to $\flat\hat{6}$ in the bass is present, but there is no $\flat VI$ harmony over the $\flat\hat{6}$, only an augmented sixth. The progression is expanded in mm. 83-86 of this movement, in a passage near the beginning of the recapitulation that sets up the continuation of the tonic key for the remainder of the movement. This unexpected entrance of the main theme in minor was discussed in Chapter Two (see Ex. 2-6), where the use of tonic minor and $\flat VI$ harmony was mentioned. The progression has been extended from that in mm. 31-32 by the inclusion of two dominant chords, one minor (mm. 84, 85).

In the Adagio, the simple 8-bar closing theme (mm. 21-28) is almost tripled in length in the recapitulation (mm. 60-84), in addition to being elaborately ornamented. Within this climactic expansion, Haydn delays the final tonic cadence with a harmonic progression that clearly recalls these first movement passages (Ex. 3-6).

Example 3-6. Hob. XVI:46/II, mm. 69-80.

Haydn approaches what should be a cadential six-four chord on the downbeat of m. 72, but makes it minor instead, and continues the digression

into m. 73 with the characteristic rise of a half-step in the bass, to \flat VI. At this point in the previous movement, Haydn returned via an Italian-sixth chord to the dominant, but here he moves even further afield tonally by tonicizing the \flat VI harmony. After an F-flat seventh in m. 74, Haydn returns to \flat VI, and then finally begins the return to the tonic with ascending half-step lines in the lower two voices.

Sonata No. 30

The Sonata No. 30 in A major was written in the mid-1770s and was included in the set of six '1776' sonatas. In depth of musical content and expressivity it offers nothing highly unusual, yet it holds a remarkable place among Haydn's output as his only completely through-composed instrumental work of three or more movements.² The first movement ends with an unresolved dominant-seventh chord, and after an eighth rest lengthened by a fermata, a brief Adagio ensues, which is connected attacca to the Tempo di Menuetto finale.

In addition to the continuity provided by the actual linking of movements, the sonata reveals a coherent tonal unity through its controlled use of harmony in connection with other unifying structural and motivic relationships. Two distinctive harmonic progressions serve to unify the sonata. The first involves a modulation to F sharp minor, the submediant key. In the first movement this occurs in the development, in mm. 62-65 (Ex. 3-7).

²Webster provides an excellent discussion of this sonata in Haydn's Farewell Symphony, 372-77.



Example 3-7. Hob. XVI:30/I, mm. 61-65.

In m. 63, the statement of the main theme breaks off, moving first to a dominant seventh and then unexpectedly to a V^6/vi chord in the next measure. The submediant that is established next dominates most of the remainder of the development. Of particular interest near the end of the development are mm. 96-97 (Ex. 3-8).



Example 3-8. Hob. XVI:30/I, mm. 91-101.

The forceful C-sharp-seventh chord in m. 96 is the culmination of eighteen measures of mostly descending-fifth progressions, and is emphasized not only by a fermata but by extremes of register as well. The continuation is

harmonically normal (in F sharp minor), but its failure to resolve in the same register creates a distinctive tension-resolution gesture.

The progression in mm. 62-65 in effect launches the first movement's development. A similar progression occurs at the segue between the first and second movements (Ex. 3-9).



Example 3-9. Hob. XVI:30/I, mm. 160-162, and II, mm. 1-2.

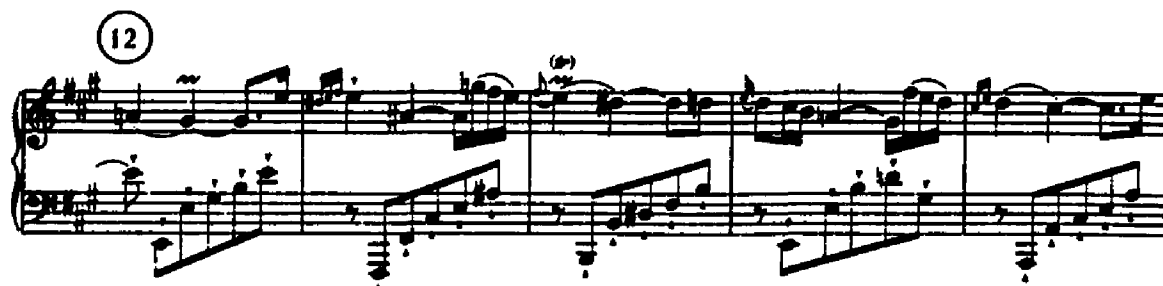
This deceptive progression relates back not just to its specific counterpart in the Allegro's development, but to the entire section, which was dominated by the submediant. Moreover, the gesture in the first two measures of the Adagio is similar to that in mm. 96-97 of the first movement (see Ex. 3-8).

The second progression is a circle-of-fifths progression that Haydn uses to form much of the fabric of the Adagio, and then uses as the harmonic basis for the first four measures of the theme of the final Tempo di Menuet. In the first-movement development section there were three separate circle-of-fifths progressions, in mm. 69-75, 79-84, and 86-93--thus all three movements are bound to some degree by circle-of-fifth progressions--yet the progressions in the final two movements are further related, as Webster notes, by the presence of a middleground melodic motive based on a half-step descent from E to C-sharp.³ The first such progression in the Adagio

³ibid., 375-76.

occurs in mm. 5-8. These bars, harmonized F sharp- B- E- A, effect the modulation from B minor (m. 3) back to the overall tonic A major. Note the accented passing notes on every downbeat, as the melody descends from E to C sharp.

Ex. 3-10 shows mm. 13-16, where one finds the second fifths progression.



Example 3-10. Hob. XVI:30/II, mm. 12-16.

The harmony is the same, F sharp- B- E- A, and the same middleground chromatic descent is present, though an octave higher and with a greater amount of time given to the D sharp (the D sharp was merely decorative in m. 6). After only five additional measures, in which Haydn establishes a half cadence on the dominant, the minuet commences *attacca* with an ascent from C sharp to E in the first measure of the melody. In mm. 2-4, Haydn employs a shortened version of the circle-of-fifths progression (no F-sharp harmony) to support the middleground descent back to C sharp. The melodic register is the same as in mm. 13-16 of the Adagio, as are the appoggiaturas and their decorations in mm. 2 and 4 (see Ex. 3-11; compare to mm. 14 and 16 in Ex. 3-10). Especially since so little time has passed, the connection is unmistakable. Thus in addition to the actual linkage of movements there are tonal (and melodic) links that increase the unity of the whole.



Example 3-11. Hob. XVI:30/III, mm. 1-5.

Sequences of Six-Three Chords

Sonata No. 22

The Sonata No. 22 in E major is the second sonata in the set of six written in 1773 for Prince Esterházy. After its sonata-form opening movement it has an E-minor Andante in 3/8 (also in sonata form), followed by a Tempo di Menuet Finale. The finale is one of Haydn's earliest variation forms (see also Sonata No. 44) in which he varies two themes, one in the major mode and one in minor. In this movement there is one complete variation of each theme, followed by a final varied return of the two-part E-major theme.

The Finale deserves brief mention because of a relationship between its minore section and the middle movement. Obviously, the minore recalls the key and mode of the middle movement. This lends a natural, low-level tonal unity by itself, but in this sonata, as in a small number of other Haydn sonatas with similar plans (such as Sonata No. 37), the similarities go further. By comparing mm.17-19 from the exposition of the Andante with the opening of the third movement minore (Ex. 3-12), one can see that in these sections Haydn has used an identical progression of first-inversion chords. Although the key in the Andante at this point is G major, and the passage in

the third movement is somewhat more elaborate melodically, the exact correspondence of pitch and register, the left-hand octave leaps, and the similarity of right-hand melodic contour make the relationship between the two unmistakable.



Example 3-12. Hob. XVI:22/II, mm. 17-19, and III, mm. 17-21.

Sonata No. 20

The Andante con moto of the C-minor sonata is unique in that for much of the piece the left hand plays nothing but parallel thirds. On account of the abundance of these thirds in the lowest two parts, it is not surprising to discover that there is also a great number of six-three chords. Ex. 3-13 shows mm. 14-25 of this movement. Descending first-inversion chords of some variety occur in every measure, with the exception of the cadential mm. 21 and 24-25. Of course the recapitulation presents these bars in the tonic (mm. 56-67), but in addition there are passages in the development (mm. 31, 33, 35, and 40-42) that develop the two themes responsible for most of the six-three chords (the second theme and closing theme).



Example 3-13. Hob. XVI:20/II, mm. 14-25.

In the Finale Haydn continues to indulge his penchant for first-inversion chords. Mm. 1-2 have a vii^6 - i^6 ascent, and mm. 3-4 feature a complementary descending sequence (Ex. 3-14).



Example 3-14. Hob. XVI:20/III, mm. 1-5.

This sequence is an important part of the main theme, just as the descending progressions in the exposition of the Andante were thematic. Then, in mm. 35-36 (Ex. 3-15), Haydn writes another descending series that is almost

identical to the one in the closing theme of the Andante (cf. Ex. 3-13, m. 20 with upbeat).



Example 3-15. Hob. XVI:20/III, mm. 31-41.

In both of these closing themes the chord directly before the descending series is a B-flat-major chord, and one might expect a continuation to E flat. However, each begins on an A-flat-major chord, and descends a major sixth to arrive finally on an E-flat chord.

Another notable passage in the Finale that demonstrates Haydn's usage of six-three chords occurs in mm. 124-128, during the final statement of the main theme (Ex. 3-16). Each time the main theme returns (mm. 79 and 121) it is varied, and during this final appearance, Haydn extends the sequence of six-threes an extra octave downwards, in dramatic expansion of the original passage from mm. 3-4 (cf. Ex. 3-14).



Example 3-16. Hob. XVI:20/III, mm. 121-132.

Haydn uses a similar technique in the first movement of this sonata; i.e., he expands a statement of the main theme through the use of descending first-inversion chords. Overall, the first movement is not as persistent as the other movements in its use of six-three chords. There are two pairs in m. 3 (the second chord within each pair is delayed by a suspended seventh), and the right-hand sixths in m. 2 show potential for first-inversion harmonization if the lower line were transferred to the bass, yet there are really no other significant instances of six-three chords in the exposition. However, twice in the development (mm. 41-42 and 45-46) and once in the recapitulation (mm. 73-77) Haydn alters statements of the main theme by inserting sequences of six-three harmony. Ex. 3-17 shows two similar occurrences near the beginning of the development. In the first instance (mm. 41-42) the extended six-three sequence traverses more than an octave, as it did in mm. 124-128 of the third movement; the second instance (mm. 45-46) is much briefer, and occurs over a pedal F.



Example 3-17. Hob. XVI:20/I, mm. 38-46.

Sonata No. 42

Both movements of the Sonata No. 42 contain numerous sequences of six-three chords, many of which are associated with juxtapositions of the pitches B and C natural (cf. the discussion in Chapter Two). The main such occurrence in the first movement is in m. 6 of the theme, and this progression naturally recurs in each of the variations in major. Other more extensive series of six-three chords in the first movement include those in m. 15 (and succeeding variations) (Ex. 3-18), which have a suspended seventh altering the chord on each beat of the measure (these were hinted at in m. 3, but have here been made complete triads with the addition of the middle voice); and those in the D-minor variation, in mm. 46 and 51, both of which are decorated by right-hand figuration. It is notable that the latter two sequences of six-three chords continue the pattern of six-three sequences in both strains of each variation, yet they occur in each strain of the minore at a different structural point than in the theme.



Example 3-18. Hob. XVI:42/I, mm. 13-16.

The second movement contains groups of six-three chords in mm. 26-27, 40-41, 57-59, 66-67, and 83-85. Ex. 3-19 shows the sequence in mm. 57-59.



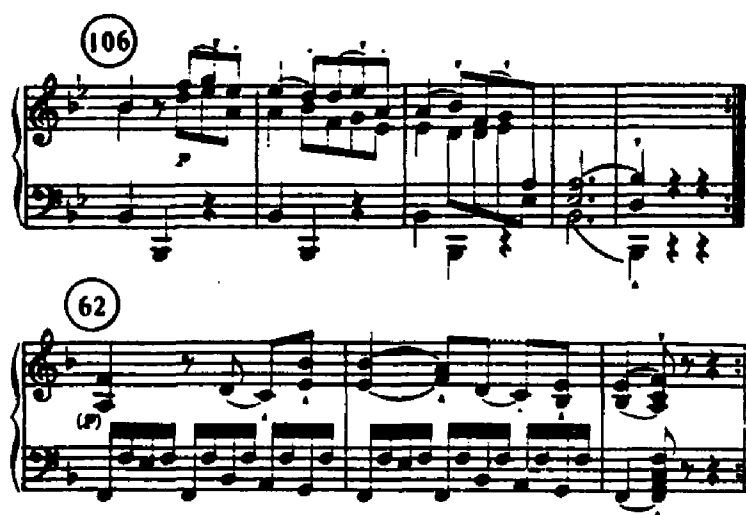
Example 3-19. Hob. XVI:42/II, mm. 56-60.

This sequence begins with a first-inversion B-major chord going to C major (as also occurs in mm. 26-27). The six-three chords also have a subtle relationship to those in the Andante in their propensity for occurring in pairs, separated by rests and grouped by sforzandi in m. 15 and related measures of the Andante (see Ex. 3-18), and grouped into pairs that ascend by step in the Vivace (Ex. 3-19). There are traditional descending six-three sequences in each movement, as in the D-minor variation of the first movement and mm. 40-41 and 66-67 of the second, yet the prominence of paired six-three groups and the several instances of B-C first-inversion chords provide a stronger relationship between the two movements.

Closing Section Progressions

Sonata No. 23

The Sonatas Nos. 23 and 22 merit discussion in that they each contain two movements with closing cadential progressions that are notably similar. It is not uncommon in the sonatas written in Haydn's early maturity (Sonata No. 23 dates from 1773) to find variants of a final cadential progression whose basic material is a tonic pedal supporting repeated sequences of tonic, subdominant, and dominant chords. For example, notice the similarity between the endings of the second movements of Sonatas Nos. 18 and 21 (Ex. 3-20).



Example 3-20. Hob. XVI:18/II, mm. 106-110, and
Hob. XVI:21/II, mm. 62-64.

Though different in tempi, both movements have a repeated cadential progression involving tonic, subdominant, and dominant-seventh harmonies in the presence of a tonic pedal, the main difference between them being the reversed order of tonic and subdominant within the repeated gesture.

In Sonata No. 23, Haydn uses such a cadential progression in both the first and last movements, and does so with enough other similarities besides harmonic progression that the association is very strong. The two endings feature a tonic pedal in the left hand underneath a repeated IV- I- V⁷ -I progression in the right hand (Ex. 3-21).



Example 3-21. Hob. XVI:23/I, mm. 125-127, and III, mm. 143-147.

Moreover, the right-hand thirds that determine the subdominant-tonic half of the progression are identical, and in both, the entire four-chord sequence recurs an octave higher. For similarities of such relatively minor significance (and concerning cadences of such relatively common occurrence) one does not rule out the possibility of coincidence, but in this sonata other points of similarity exist between the movements, such as the submediant emphasis discussed in Chapter One, and the presence of lengthy dominant pedal points near the end of each movement (I- mm. 105-10; III- mm. 104-11).

Together, these features tend to enhance cyclic unity.

Sonata No. 22

Between the closing sections of its first and second movements, the E-major Sonata No. 22 contains a more subtle relationship involving deceptive progressions. In m. 20 of the first movement exposition, Haydn firmly establishes the dominant key with its first authentic cadence, and the remaining five measures constitute the closing section (Ex. 3-22).

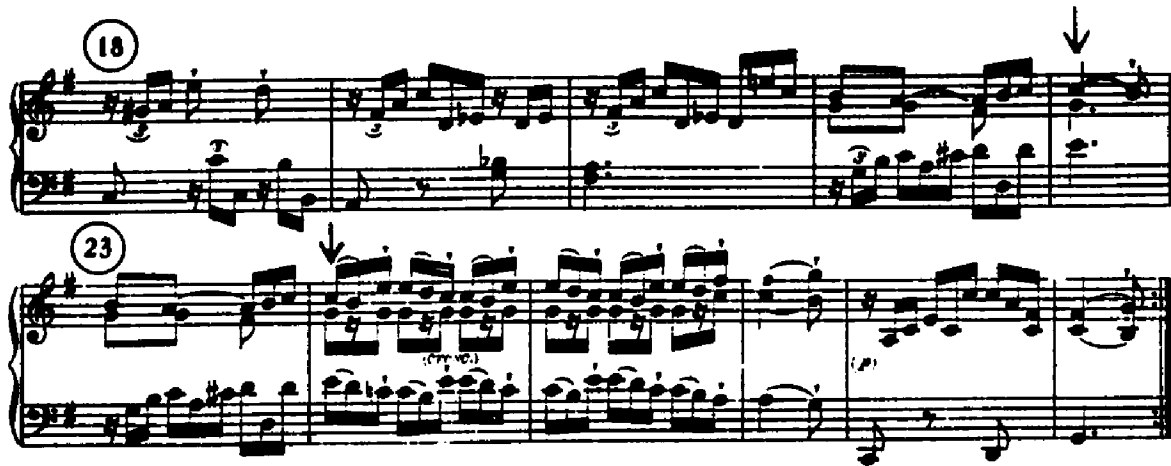


Example 3-22. Hob. XVI:22/I, mm. 18-24.

The deceptive progression in m. 21 serves to delay the final cadence, and sets up what the listener expects will be an authentic cadence in m. 22. At this point, however, Haydn 'deceives' again. When the authentic cadence is finally reached, it is stated three times for emphasis (m. 24).

A similar technique can be seen at the end of the second movement's exposition, where Haydn again twice delays the final authentic cadence with

deceptive progressions. In m. 21 he sets up a cadence in G major, only to resolve it deceptively over the bar line (Ex. 3-23).



Example 3-23. Hob. XVI:22/II, mm. 18-28.

Note that the submediant chord (m. 22) is decorated by a 6-5 appoggiatura, which was also the case with the first deceptive progression in the Allegro. A second deceptive progression occurs in mm. 23-24, and this time Haydn extends the deceptive chord (here a IV^6) for two measures before the G major resolution in m. 26. Thus in the closing sections of both expositions Haydn withholds a perfect authentic cadence twice with deceptive progressions, and emphasizes the first such progression with a 6-5 appoggiatura.

Abrupt Harmonic Motion Between Sections

Sonata No. 23

Ex. 3-24 shows the beginning of the second portions of the Adagio and Presto of this sonata.

The image displays two systems of musical notation for piano. The top system is marked with a circled '21' and the bottom system with a circled '53'. Both systems show a piano introduction with a diminished-seventh chord in the left hand and a melodic line in the right hand. The notation is in treble and bass clefs, with various accidentals and dynamics indicated.

Example 3-24. Hob. XVI:23/II, mm. 21-23, and III, mm. 53-57.

Both begin abruptly and unexpectedly with diminished-seventh chords. The Adagio is in binary form, and the chord in m. 21 (which accompanies a permutation of the main theme) is a diminished seventh of the subdominant. In the Presto (which is in sonata form), the diminished-seventh chord is of the supertonic. Before the time of this sonata, the vast majority of Haydn's sonata and binary forms start their second sections in the dominant, and in only a few do other alternatives appear, such as the dominant minor (Nos. 45/I and 21/II) or V/vi (Nos. 33/I and 22/I).

In none of the earlier mature sonatas does one find a diminished seventh beginning the second portion. After this sonata, it becomes more common to find secondary dominants or diminished sevenths, particularly of

the supertonic, at the opening of the second strains of minuets or variation themes (e.g. in Nos. 24/III, 32/II, and 42/I). Still, though, in only a very few instances does one find diminished sevenths at the beginning of sonata form developments. The sparseness of similar examples in other sonatas and the unequivocal nature of the diminished sevenths in these two instances (forceful, fully-chorded) support the hypothesis that Haydn was aware of the relationship and its contribution to the sonata's unity.

Sonata No. 34

The E-minor sonata, No. 34, was composed some seven to ten years later than No. 23 and issued separately, though it may have originally been planned as the last sonata in the 1780 Artaria group.⁴ A similar relationship exists between the exposition and development sections of its first two movements. In both movements Haydn begins the development with harmony a third below the closing harmony of the exposition. In the first-movement Presto this entails a juxtaposition of G major and E major, as shown in Example 3-25.⁵ By m. 47 the listener realizes that E major is functioning as a dominant of the subdominant, yet the passage ends three measures later with an unresolved half cadence. After the fermata in m. 50, Haydn moves the bass down another third, beginning forcefully in the key of C major.

⁴Brown, 316.

⁵When the repeat of the development and recapitulation is played, this E-major chord sounds like a tonic chord with a Picardy third, which causes a certain confusion as to where the development actually starts.



Ex. 3-25. Hob. XVI:34/I, mm. 41-51.

Example 3-26 shows the corresponding section in the G-major Adagio of this sonata.

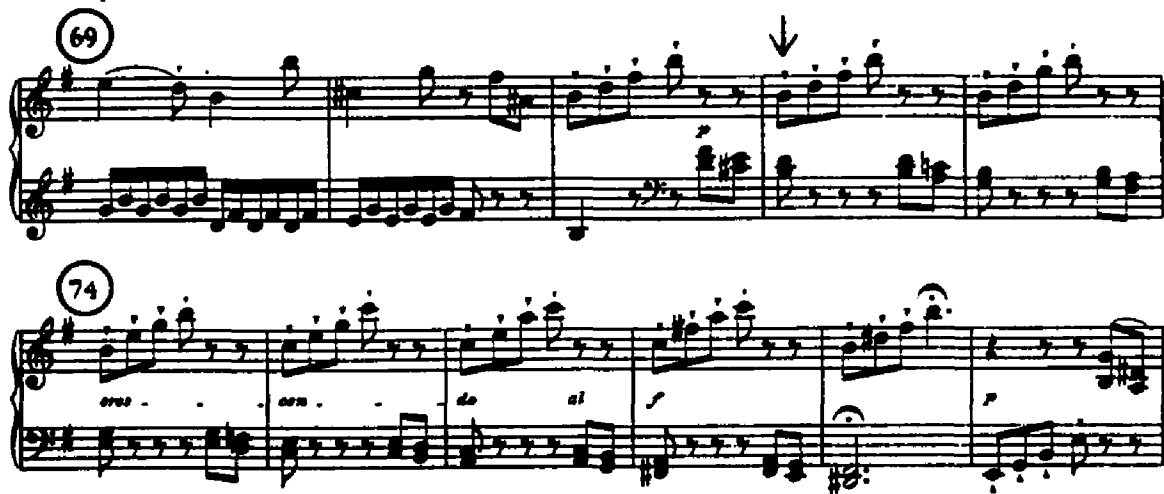


Ex. 3-26. Hob. XVI:34/II, mm. 18-22.

The development opens with a major chord with root a third below that of the last harmony of the exposition, and like the corresponding E major in the first movement, this chord functions as an applied dominant.

In the first movement the descent of a third between sections is not an isolated circumstance. It has already been noted that in m. 51 Haydn descends a third to arrive in C major, a motion that because of the fermata before it and the forte dynamic is perhaps even more distinctive than the

immediately preceding third motion. This bass motion is also incorporated into several local progressions. Significantly, the first root movement in the piece is from E to C (mm. 3-4). Most remarkable, though, is the retransition, in which Haydn progresses down by thirds in five consecutive measures before arriving on the dominant in m. 78 (Ex. 3-27). At the end of the Adagio, Haydn again employs this mediant progression: in m. 45 a deceptive cadence to E minor is followed by a dramatic forte C-major chord. This recalls the key of the opening movement (in preparation for the Finale), and at the same time recalls one of the progressions that figured prominently in it.



Ex. 3-27. Hob. XVI:34/I, mm. 69-79.

Larger-Scale Harmonic Progressions

Sonata No. 18

A return to Sonata No. 18 is warranted in order to examine further similarities between its two development sections. It was noted (on pp. 8 and 59 above) that each section emphasizes the submediant as its principal harmonic goal and that each articulates a similar motive characterized by a rapid dominant-tonic fluctuation. In addition, the overall tonal plans of these developments reveal striking similarities. Perhaps because of the brevity of the second movement's development, it would be more apt to say that it presents a condensed version of the tonal plan of the first development.

This tonal plan may be outlined as follows (see Ex. 3-28): a statement of the main theme in the dominant; a brief inflection of F minor (minor dominant); an inflection of C minor--m. 45 in I and mm. 52-53 in II; a submediant half cadence; thematic material in G minor (much more extensive in I than in II); and an authentic cadence in this key, followed closely by the recapitulation. There is essentially no retransition in I; II has a three-measure sequence and two additional bars of preparation.

The image displays two staves of music in bass clef, representing the bass-line sketch of developments for Hob. XVI:18/I and III. The top staff contains measures 39, 43, 53, 61, 65, 73, and 74. The bottom staff contains measures 46, 51, 56, 62, and 67. Below the staves, harmonic symbols are provided for specific measures: (b) - b (6) for measures 39-43, # for measure 53, 6 for measure 61, # for measure 65, and # for measure 74. The bottom staff has (b) - b (6) for measures 46-51 and # for measures 56-67.

Ex. 3-28. Hob. XVI:18/I and III, bass-line sketch of developments.

Sonata No. 32

Another example of a sonata with similar development tonal plans is the B-minor Sonata No. 32. This sonata is the last in the group of six (Nos. 27-32) that appeared in 1776. It is one of Haydn's most intense and dramatic works, and is also one of his most tightly organized and unified sonatas, each of its three movements being interconnected through various motivic and harmonic relationships.

The harmonic plans of the development sections in its first and third movements contain significant similarities. Both sections introduce C natural and D sharp immediately, effecting early modulations to E minor (Ex. 3-29).



Example 3-29. Hob. XVI:32/I, mm. 29-33, and III, mm. 68-76.

Each briefly states the main theme in E minor, and begins modulating again, the first movement arriving at F sharp minor in m. 38. The finale makes a false start in G major (mm. 89-93; Ex. 3-30), but then also establishes F sharp minor (m. 96). The minor dominant is the main harmonic anchoring point of each development, and after thematic statements in this key Haydn returns to the tonic for the recapitulation. In both movements he effects the

return through falling fifths: brief inflections of C sharp minor occur in mm. 42-43 in I and mm. 111-14 in III.



Example 3-30. Hob. XVI:32/III, mm. 87-96.

Sonata No. 37

The middle movement of Sonata No. 37 forms an effective contrast with the outer movements it connects. From its opening bars Haydn immerses the listener in a connoisseur's world, strongly contrasting with the much lighter character of the first and last movements. Because of its conciseness and lack of a conclusive finish, one might almost question its status altogether as an independent movement: it is perhaps as much an introduction to the Finale.

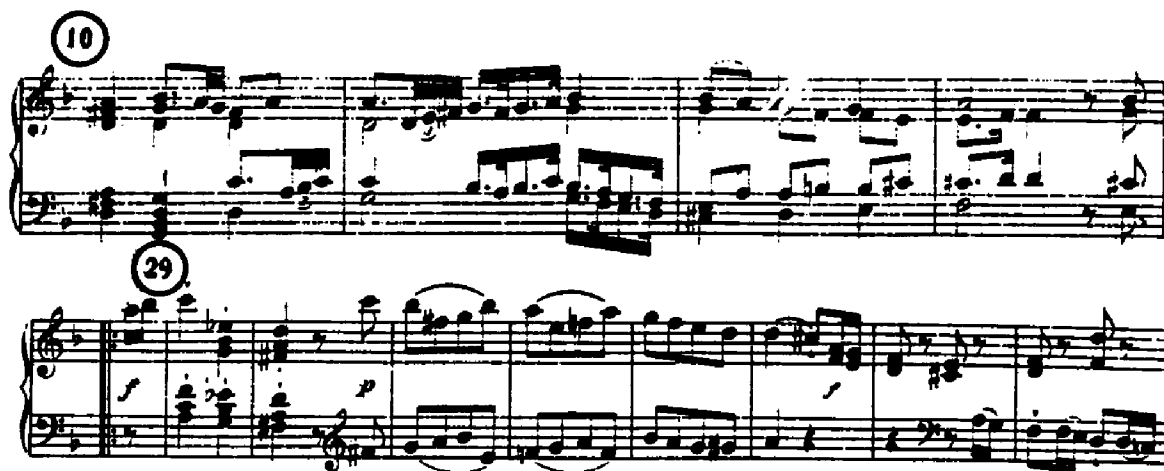
The Finale of this sonata is a rondo with episodes in D minor and G major. The first episode, in D minor, contains several harmonic parallels to the Largo that belie their great difference in character. In the broadest terms, each of their first strains modulates from D minor to F, with a D minor half cadence half-way through, and their second strains modulate back, though as noted the Largo ends on a half cadence to prepare the Finale. This is of course nothing out of the ordinary for a D-minor movement or episode in binary form. Additionally, though, both begin with deceptive progressions to B flat, under similar f- e- d melodies (Ex. 3-31).

① *Largo e sostenuto.*

① 19

Example 3-31. Hob. XVI:37/II, mm. 1-4, and III, mm. 19-28.

The second strain of each begins with a harmonic shift to G minor (Ex. 3-32), and too, each contains a harmonic disruption with similar effect. This is caused by the fortissimo E-flat chord in m. 16 of the Largo (Neapolitan sixth), and the B-flat-major climax in m. 37 of the Presto (\flat VI; cf. the discussion in Chapter Two). Thus the D-minor episode in the Finale contains clear harmonic parallels to the Largo that provide a harmonic and stylistic link between the movements as well as enhance the unity created by their attacca link.



Example 3-32. Hob. XVI:37/II, mm. 10-13, and III, mm. 29-36.

CONCLUSIONS

The preceding analyses and examples illustrate the diverse types of harmonic relationships among movements in Haydn's keyboard sonatas. The examples were drawn from seventeen of the thirty-five mature sonatas, and ten sonatas were discussed more than once in the study. Certain examples are more important than others in terms of understanding this aspect of Haydn's style, yet taken together this body of examples (which comprises half of his mature sonatas) represents a significant repertory.

Certain chronological patterns emerge concerning the tonal unity in the sonatas. Works from the mid-1760s to 1771 (Sonatas 47, 45, 19, 46, 18, 44, and 20) form a first group which roughly coincides with Haydn's Sturm und Drang period. The submediant plays its most important unifying role in the sonatas of this period. For instance, in Sonatas Nos. 18 and 46, Haydn stresses the submediant in the development sections of the outer movements to the extent that harmonically it largely defines these sections. The developments in Sonata No. 18 are further unified by other significant similarities in their tonal plans.

In addition, there are striking local harmonic relationships in these works. A tonicization of the flat submediant in the first movement of Sonata No. 20 is recalled at the beginning of the second movement (which is in the flat-submediant key). Further, all three movements of this sonata make distinctive use of six-three chords: in the outer movements, Haydn expands statements of the main themes using extensive sequences of six-threes.

Sonata No. 46 features significant instances of mode mixture in its first movement that are dramatically extended at the climax of the central Adagio.

Haydn's first collected set of sonatas, including Sonatas Nos. 21-26, appeared in 1773. These works are more popular in style, and seem to pull back from the larger dimensions and heightened expressivity of works of the previous period. In spite of the more restrained use of harmony, there are notable intermovement relationships in the first four sonatas of this set. The submediant continues its important unifying role, but is not emphasized to the same extent as before. Haydn stresses it to a significant degree in the outer movements of Sonata No. 23, yet in Sonatas Nos. 21 and 24 the unity it contributes does not involve the same degree of tonal emphasis. Sonatas Nos. 22 and 23 contain movements related by harmonic progressions in their closing sections, and the outer movements of Sonata No. 21 make distinctive use of mode mixture, which, though significant, is less striking than it is in the more individual Sonata No. 46.

Haydn's second set of sonatas (including Nos. 27-32) was issued in 1776. Haydn effectively mixes progressive and conservative elements in these works, and there are no clear patterns for the types of tonal unity they employ. The two sonatas that show strong intermovement harmonic relationships are Nos. 30 and 32. The three movements of Sonata No. 30 are linked *attacca*, and in addition reveal important harmonic links based mainly on their use of two chord progressions. Sonata No. 32 is one of Haydn's most tightly unified sonatas in a number of ways, one of which concerns a remarkably similar sequence of keys in the outer-movement developments.

The sonatas published in 1780 or later tend to have a more unique stylistic profile, and this is reflected in a greater variety of unifying

relationships. These works include the set of Sonatas Nos. 35-39 (and 20) in 1780, the three Sonatas Nos. 40-42 in 1784, and the single Sonatas Nos. 34 (early 1780's) and 48-52 (1789-ca. 1795). The main pattern that links them is in their use of more remote harmonies for unification. The movements of Sonata No. 37 are related through flat-submediant and Neapolitan harmonies, and both movements of Sonata No. 42 locally emphasize the submediant major. Haydn's last Sonata, No. 52 in E flat, is well-known for its remarkable use of E major, yet there are also relationships of significance involving the subdominant and the submediant major among its movements. Sonata No. 38 does not feature remote harmonies, but contains a sophisticated relationship between the tonic and submediant key areas.

The relationships I have discussed are mostly tonal, yet by isolating these relationships for study, I do not intend to diminish the importance of other unifying factors in Haydn's sonatas, such as thematic, motivic, and gestural relationships. Rather, as some of the above analyses show, tonal relationships complement other types of relationships in Haydn's sonatas, and only by considering all types together does one gain a full understanding of the unity in these works.

An obvious course of further study would be to search for similar types of intermovement relationships in the works of Haydn's contemporaries, or in works of early Beethoven. Concerning the latter, it is not unreasonable to suggest that this aspect of Haydn's style had some influence on Beethoven, though a study involving direct comparisons might prove a difficult task. Care must be taken to evaluate unifying relationships in Haydn on their own 18th-century terms, and not to allow his contributions to pale in comparison to the often much larger and integrated tonal concepts of the nineteenth century.

Most scholars acknowledge that Haydn deserves credit for the elevation in stature of the keyboard sonata during his lifetime, but nonetheless, the sonata remained of lesser importance overall than the symphony or string quartet. Another course of further study would be to compare the use of intermovement tonal relationships in Haydn's sonatas with that in his symphonies, quartets, and keyboard trios. Haydn used more remote key relationships with greater frequency in these works in the 1790s, and in these and earlier works it would be of interest to determine the extent to which he used other tonal and harmonic relationships among movements similar to the ones analyzed in this study. Such an investigation would provide a more complete picture of intermovement relationships in Haydn's music, and a comparison with their presence in his keyboard sonatas would result in a better understanding of the place these sonatas take among Haydn's works.

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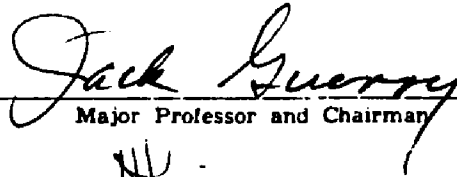
DOCTORAL EXAMINATION AND DISSERTATION REPORT

Candidate: Stuart Foster

Major Field: Music

Title of Dissertation: Tonal Methods of Cyclic Unification in Haydn's
Mature Keyboard Sonatas

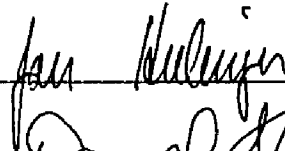
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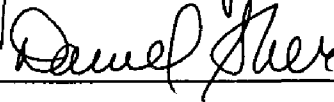

Major Professor and Chairman

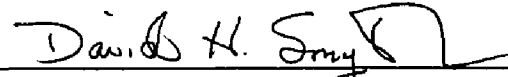


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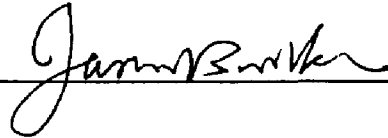
EXAMINING COMMITTEE:











Date of Examination:

July 16, 1990